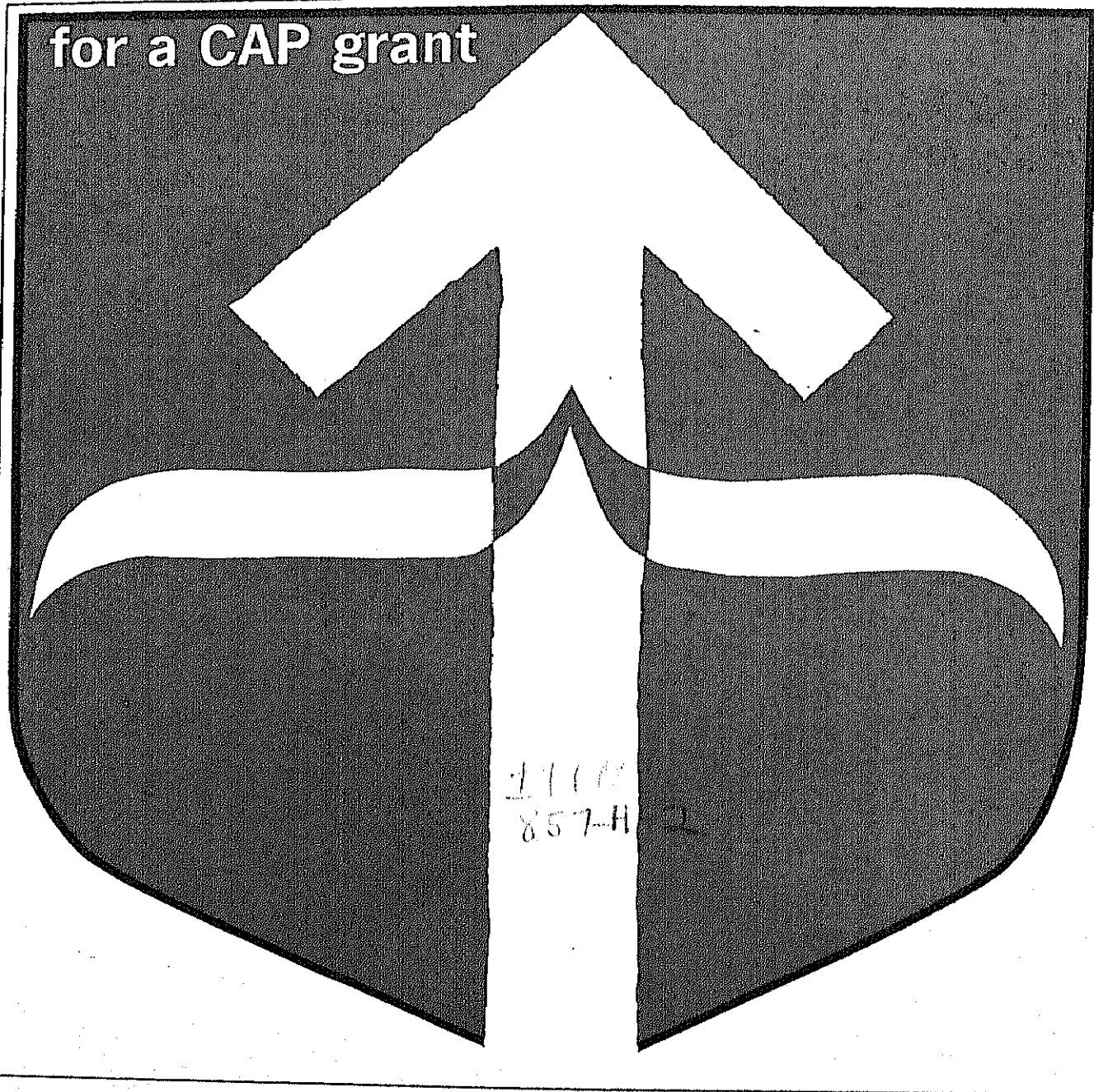


OEO INSTRUCTION 6710-  
AUGUST 1968

# APPLYING

for a CAP grant



**Community Action Program**  
office of economic opportunity

RETURN TO GOV. DOCS. CLERK

# **APPLYING FOR A CAP GRANT**

**Community Action Program  
Office of Economic Opportunity**

**July 1, 1968**

# OFFICE OF ECONOMIC OPPORTUNITY

EXECUTIVE OFFICE OF THE PRESIDENT  
WASHINGTON, D.C. 20506

As Director of the Community Action Program for more than three years, I have answered many questions about CAP. The question most frequently asked is one which deals with the fundamental goal and mission of CAP. As you prepare to use this new tool for securing grants to conduct local programs, it seemed appropriate to focus attention on the role of the community in fulfilling the CAP mission.

What is Community Action? Community Action is a local coalition against poverty, i.e., a way for local citizens to work together in improving and enriching their lives and the lives of all residents.

Community Action is a process which develops lines of communication and builds bridges between all segments of the community, i.e., between poor and non poor, between government officials and private organizations, and between public



and private agencies which operate related programs. Most important, CAP builds bridges between one poor person and another so that they may share in the dignity of self help in escaping from poverty.

Community Action is really a way of mobilizing resources of all kinds to fight poverty. In the American tradition, it is essentially a home-town effort. Because the resources to be mobilized and the concern about problems of poverty are State and Federal as well as local, bridges are also being built between levels of government through Community Action. The focus of attention, and the principal source of planning, decision, and action, however, is the local community, where the knowledge of problems is most complete. What gives Community Action form and effect? What makes Community Action come alive? It is the Community Action Agency and its representative board which brings together local government officials, representatives of major community groups and representatives of the poor, to join hands in waging the local war on poverty. Under the Economic Opportunity Act Amendments of 1967, local governments are given the responsibility for establishing Community Action Agencies and assuring that they meet the structural, procedural, and program requirements to qualify for Federal recognition and funding.

The CAA is not simply a dispenser of welfare or social services to the poor. In the terms of the Economic Opportunity Act, as amended, it is expected to exert its influence to "stimulate a better focusing of all available local, State, private and Federal resources upon the





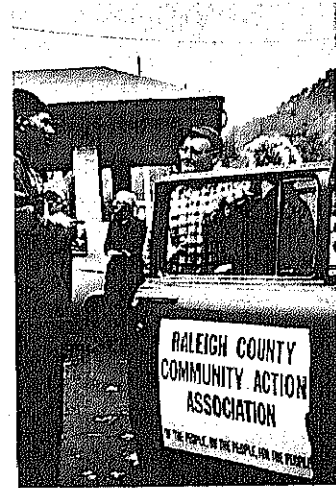
goal of enabling low-income families and individuals of all ages, in rural and urban areas, to attain the skills, knowledge, and motivations and secure the opportunities needed for them to become fully self-sufficient."

In this role it is expected to: significantly and meaningfully involve the poor in developing and carrying out

anti-poverty programs; mobilize public and private resources in support of anti-poverty programs; coordinate efforts throughout the community so as to avoid duplication, improve delivery of services, and relate programs to one another; plan and evaluate both long and short range strategies for overcoming poverty in the community; serve as an advocate of the poor on matters of public policy and programs which affect their status, promoting institutional improvement and desirable changes in social policies and programs; encourage administrative reform and protect individuals or groups against arbitrary action; conduct in its own right or delegate to other agencies the development and conduct of programs financed through Economic Opportunity Act funds or other available funds.

A strong resilient CAA, which wins the active support of the whole community, including the poor, with its network of delegate agencies and neighborhood institutions can be a major source of strength to the local government in dealing with the whole gamut of community problems.

It can also increase the local capacity to obtain and make effective use of Federal and State resources through a wide range of programs which are available to help solve local problems.



Sincerely,

*Theodore M. Berry*

Theodore M. Berry

Director

Community Action Program



# CAP MISSION AND OBJECTIVES

Community Action is an integral part in the broad framework of Federal programs designed to help solve urgent social problems including poverty. Within the overall framework, other Federal programs, such as Model Cities, are concerned directly with strengthening the ability of government at all levels to deal with the array of problems facing American communities.

While contributing substantially to this aspect of the total effort, Community Action is engaged particularly in the complementary task of strengthening the means and capacity for:

- (1) more effective self-help efforts by the poor, individually and in organizations through which they can participate in planning, conduct and evaluation of programs affecting their lives;
- (2) greater private, voluntary involvement by which not only the poor but business, labor, service agencies, civic and religious organizations are enabled to play their full role along with government, contributing their human and financial resources to the solution of community problems; and
- (3) the sharing of views and approaches among the public and private groups to clarify differences and reach constructive solutions which broaden the common commitment and strengthen the effectiveness of the community attack on poverty.

Section 201(a) of the EOA states the basic purpose of Community Action, "to stimulate a better focusing of all available local, State, private and Federal resources upon the goal of enabling low-income families, and low-income individuals of all ages . . . to obtain the skills, knowledge and motivations, and secure the opportunities needed for them to become fully self-sufficient." The resources to be better mobilized and focused include not only funds, facilities and equipment from all available public and private resources, but also a wide range of knowledge, talents, energies, and commitment to the elimination of poverty.

To achieve these ends, Section 201(a) sets forth the following specific purposes of Community Action:

- a. strengthening of community capacities for planning and coordinating assistance from all services, so that local officials, organizations and individuals can make it more responsive to local needs and conditions;
- b. better organization of a range of services to make them more effective in helping poor families and individuals overcome the whole complex of interrelated problems which block their escape from poverty;
- c. greater use of innovative approaches in attacking the causes of poverty;
- d. development and implementation of all programs to serve the poor and low-income areas with maximum feasible participation of residents of the areas and members of the groups served; and
- e. broadening the resource base of programs directed at elimination of poverty, drawing upon public agencies, religious, charitable and neighborhood organizations, and private citizens, and securing more active participation by business, labor, and professional groups.

Community Action is thus aimed at stimulating and assisting a variety of *changes* which are necessary for better focusing of public and private resources. Such changes must increase (1) public and private *understanding* of the causes and problems of poverty, and the actions which are required to overcome them; (2) *commitment* to undertake and support the necessary actions; and (3) *capacity* to carry them out effectively.

### ***Mission of Grantee Organizations***

The CAA has the central responsibility for carrying out the purposes of Community Action at the local level. Within the broad policies established by the Congress and OEO, the CAA is responsible for developing and implementing a local strategy to stimulate a better focusing of Federal, State, local and private resources on the goal of eliminating poverty. As the local advocate and stimulant of community action against poverty, the CAA must reach out to all elements of the community, encouraging and assisting each to find effective ways to make its fullest contributions to the overall effort. The CAA also helps each group to understand and make the fullest use of the contributions of the others. The CAA is not to become a substitute for the legitimate roles of other public or private organizations which have responsibilities for planning, conduct and coordination of programs at the local level. The character and balance of CAA efforts in rural areas will frequently be different from the typical urban approach because the nature of the challenge may be substantially different.

*Limited Purpose Grantees* share the same basic purpose of stimulating greater and more responsive use of other resources to fight poverty in their respective program areas.

*State Economic Opportunity Offices* promote the purposes of Community Action in the activities of State government agencies, promote improvement in coordination of programs carried out with or through State agencies, provide technical assistance to CAAs and other organizations involved in Community Action, operate programs and assist the Governor in carrying out his responsibilities with respect to Community Action.

### ***Role of OEO/CAP***

The mission of OEO/CAP is to develop and carry out a national strategy to stimulate a better focusing of human and financial resources on the goal of eliminating poverty. This effort is carried out by working with and through key public and private institutions at the national, State and local levels.

A major part of the OEO/CAP mission is to stimulate and assist State and local grantees to be effective agents of change in the quantity and quality of resource mobilization to fight poverty. This purpose is carried out from the national level by providing:

- financial assistance
- basic policy direction
- information and guidance
- training and technical assistance

In addition, OEO/CAP performs at the national level a function comparable to that of the CAA locally, and the SEOO at the State level. Through negotiation, demonstration, technical assistance, joint funding arrangements, and delegation of programs with evaluation of results, OEO/CAP encourages Federal policies and programs which are more responsive to the needs of the poor and the mobilization efforts of local CAAs. Assistance in building the capacity of poor people's organizations is a major functional responsibility of OEO/CAP with the cooperation and assistance of the other Federal agencies.

*Bertand M. Harceling*  
Director, OEO.

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# PREFACE

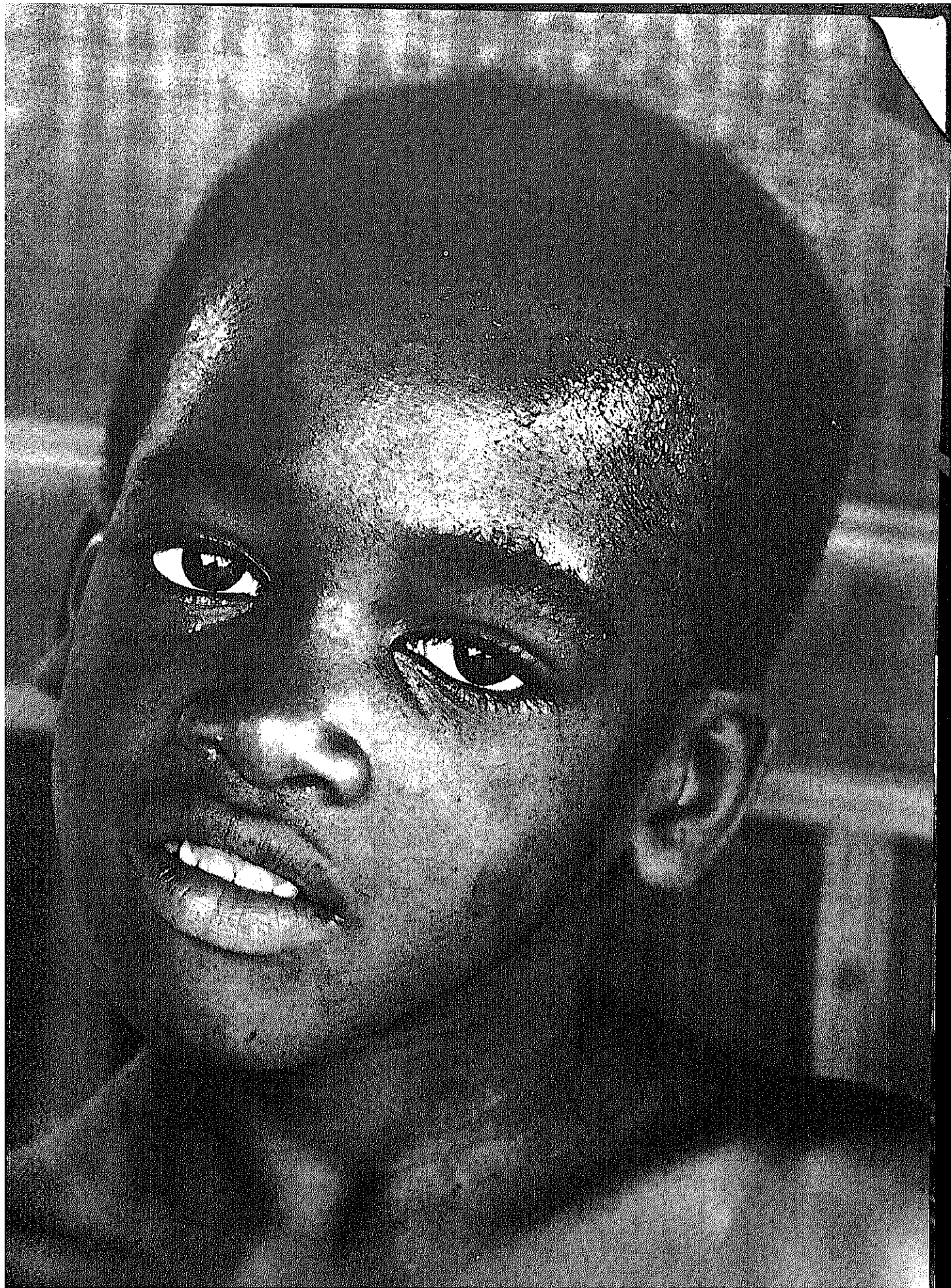
This instructions manual presents the new procedures to be followed by **community action agencies** in applying for Community Action Program (CAP) and Migrant grants under sections 221, 222, and 312 (formerly sections 204, 205, and 311) of the Economic Opportunity Act of 1964, as amended. Separate instructions will be issued for **single purpose agencies** applying for grants under these sections and for **both** community action agencies and single purpose agencies applying for Technical Assistance and Training, State Technical Assistance, and Research and Pilot Program grants under sections 230, 231, and 232 (formerly sections 206, 209, and 207) of the Economic Opportunity Act of 1964, as amended.

This manual does **not** include instructions or requirements for the organization, designation, and recognition of community action agencies. It includes only the requirements for maintenance of CAA eligibility, once established, and the procedures for requesting OEO funds. Organizations never before funded by OEO as community action agencies are directed to a companion CAP handbook, **Organizing Communities for Action**, for a full discussion of the policies and procedures governing the application for OEO recognition.

This manual supersedes Major portions of **CAP Guide**, Volumes I and II, and certain Community Action Memos. OEO Notice 7801-1 indicates the status of each of these.

The revised grant application process presented in this manual results in a **core package** every CAA submits for all projects and program accounts under sections 221, 222, and 312. Funding requests for Comprehensive Health Services, Head Start, Legal Services, and Upward Bound programs require supplementary information. Special instructions for these program accounts are included in the Funding Request Section of this manual.

Community Action Agencies applying for grants under sections 221, 222, and 312 should apply to the appropriate OEO Regional or Headquarters office, depending on the nature of the CAA or the nature of the program for which application is made. A listing of the offices to which application is made is in Appendix A.







# I. INTRODUCTION: CAP GRANT APPLICATION PROCESS

This manual reflects major modifications in both the process and procedure of OEO program funding. The three-fold purpose of this revised process is:

(1) to provide a structure by which CAA's progress logically from setting goals and priorities, through planning programs, to specifying expected program results.

(2) to encourage program and policy compliance and the preparation of budget data; and to elicit program information necessary for OEO management to make program and funding decisions.

(3) to assist the CAA strengthen and improve a systematic approach to community action as set forth in the EOA of 1964 as amended.

The grant application process is composed of three major and interlocking segments:

- (1) Determination of Grantee Eligibility.
- (2) Planning and Field Prereview.
- (3) Grant Funding Request.

## Determination of Grantee Eligibility

Each CAA must comply with a variety of legislative and administrative policy and program requirements to establish and maintain its eligibility to receive OEO funds. To certify to its compliance with these requirements the CAA submits to the appropriate OEO Regional or Headquarters Office a number of existing and new CAP forms and documents. Several of these forms are already on file and need not be resubmitted. Others must be submitted no later than 130 days before the end of the program year for the first funding under the revised procedures. A number of the required forms are submitted only one time; others are periodically up-dated; and some are prepared annually.

Fundamental changes in grantee operations that bear on the accuracy of grantee eligibility information are submitted to OEO as they occur, or on a quarterly (MIS) or monthly (financial reports) basis, to assure the completeness, currency, and validity of the eligibility information throughout the year. A complete list of the forms and documents required will be found in the section on Determination of Grantee Eligibility.

OEO performs an annual assessment of CAA eligibility through a comprehensive review of all information pertinent to CAA programs, opera-

tions, and policy and program compliances. If documentation is current, complete, and in order, the CAA is declared to be provisionally eligible to receive OEO funds. If documentation is not complete the decision of provisional eligibility is made contingent upon the required CAA action and receipt of the missing certification documents. In either case, OEO makes the tentative decision on eligibility prior to the field prereview. The final determination of eligibility is made with receipt of the funding request containing the remaining required certifications.

This part of the application process is designed to enable OEO to determine CAA eligibility for funding separate from consideration of program substance and funding requirements. It is the first key decision point in the process.

## Field Prereview

The CAA board councils and policy advisory groups and CAA and delegate agency staffs and the field representative<sup>1</sup> participate in an annual prereview held within the area served by the CAA. Before the prereview takes place, the CAA staff prepares a new Community Information, CAP Form 5, based upon the most current data available; develops program proposals for the coming year; and prepares the Community Action Agency Plans and Priorities, CAP Form 81.

This form includes a description of the CAA goals, strategy, priorities, and program proposals and provides the focus and framework for the prereview discussions. Because this information is so important to the CAA's final program structure as reflected in the funding request, the CAP 81 must be considered and approved at an open board meeting. It also must be cleared with the administering, county, and area boards, and major advisory committees. The clearance procedure should be such as to insure the influence of the above groups on major program and policy decisions.

The prereview gives the participants an opportunity to discuss, analyze and tentatively agree upon the CAA role and strategy; the proposed work program, its objectives and anticipated re-

<sup>1</sup>The term "field representative" is used throughout this manual in a generic sense to mean the individual(s) primarily responsible for providing general technical assistance to the CAA and for reviewing its program progress and funding requests. The term thus encompasses both Regional field representatives as well as program specialists and analysts from the Comprehensive Health, Head Start, Legal Services and Upward Bound Programs and, in the case of Indian and Migrant programs, from the Office of Special Field Programs.

## Introduction . . .

sults; and cost estimates and probable sources of funding.

The CAA and field representative review estimates of carry-over funds; amounts and types of non-Federal share; possible additional sources of funding; and new Federal funds required to support the proposed work program. In some instances, draft copies of the Program Account Work Program, CAP Form 7, and the Program Account Budget, CAP Form 25, are prepared at this time.

Finally, arrangements are made for specialized program or management assistance required for preparation and completion of the grant funding request. Pre- and in-service training needs the CAA identified during the planning phase are discussed and arrangements for assistance are made by the field representative. Questions or issues emerging during the prereview discussions that require action by policy and advisory groups are resolved during the prereview if possible.

At the conclusion of the prereview the field representative and CAA staff review all major agreements reached during the meetings and draft and sign a memorandum summarizing the agreements and decisions, and defining any disagreements. These agreements are confirmed in a Letter of Understanding to the CAA from the OEO Regional Director or his designee. This letter is OEO's statement of intent and provides the basic program and funding information and guidance used in preparing the funding request for the coming year's program. Changes in work programs or budget items subsequent to prereview must be discussed with the field representative together with appropriate OEO program specialists prior to formal submission of the grant funding request.

This second key point in the process is designed to enable the CAA and OEO to consider and agree upon program content, objectives, expected results, and the level of funding to be requested from OEO.

### Grant Funding Request

The grant funding request is the vehicle used by the CAA to formally request funds to operate its OEO/CAP programs. It contains the program and budget information OEO requires to make its third and final grant decision and serves as guidance for the CAA in carrying out its approved projects and programs. The funding request should contain only program and budget elements previously discussed with the field representative. Adherence to the field prereview agreements will minimize the possibility of major unexpected pro-

gram or funding changes or lengthy substantive discussions with the field representative which could delay the formal OEO review and approval of the funding request.

The request consists of a number of forms listed in the section on the Funding Request. These forms focus on the work program, its purpose and expected results, and the related program account budget. In addition to budget and work program, the funding request includes an estimate of funding levels by program account for each administering agency (CAA or its delegate agencies); estimates of the planned quarterly expenditures and participants to be served in each program account; and an estimate of the characteristics of the participants to be served.

Following review and analysis of the request by OEO personnel, the OEO Regional Director or OEO CAP Director indicates his final approval to award the grant action by signing the Statement of CAP Grant, CAP Form 14.

The CAA likewise indicates acceptance of the OEO grant and accompanying conditions, if any, by signing and returning to the Regional or Headquarters Office a copy of the CAP 14, and its attachments as received from OEO. Following the governor's approval (when required) of the grant action, and the receipt from the grantee of all required documents, the release of funds process begins.

Exhibit I appearing on page I-3 shows the major activities performed by the CAA and OEO throughout the grant application process. The timeline indicates the approximate number of days before the program year end these activities take place.

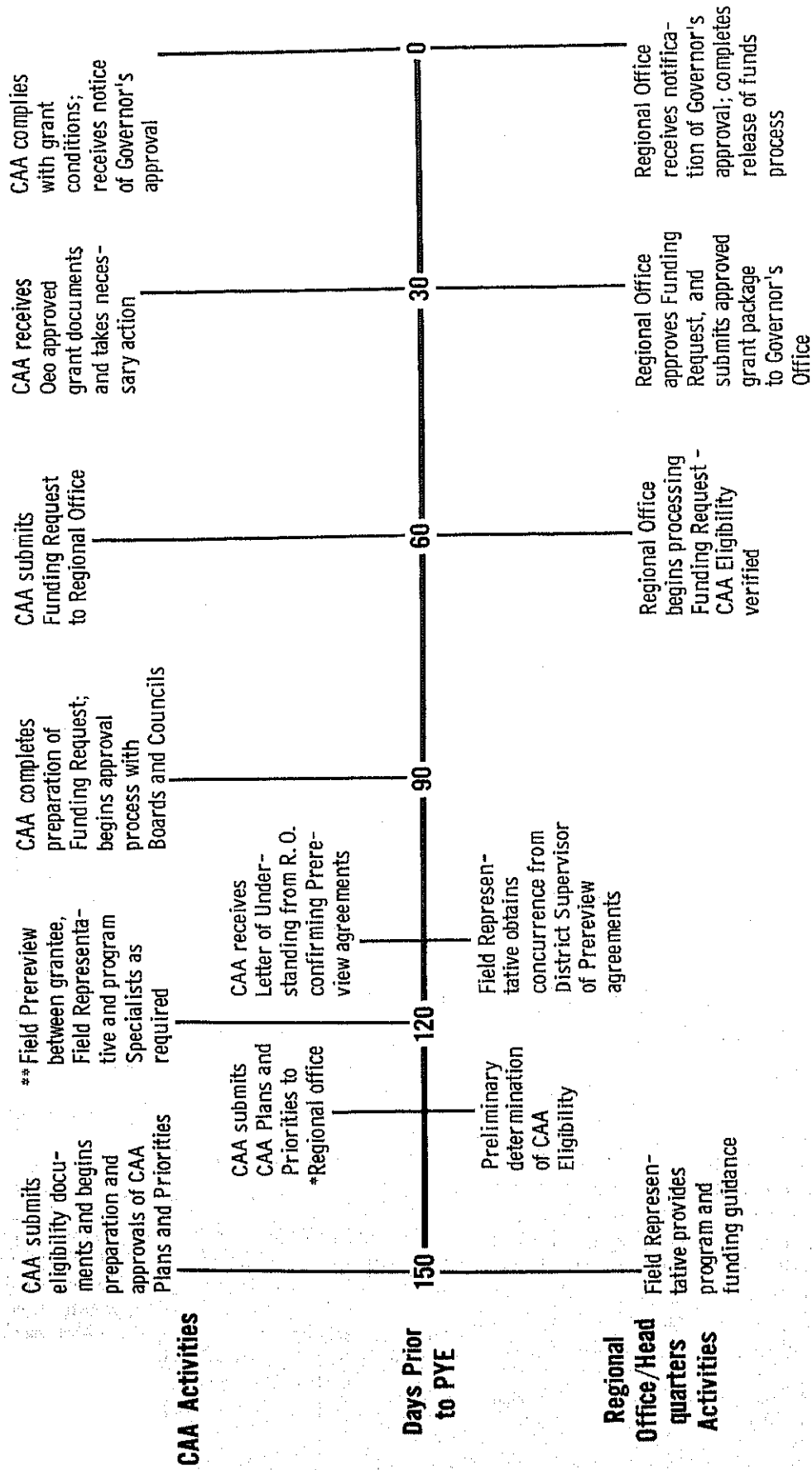
### The Application as a Management Tool

The application process is designed to help the CAA take the steps necessary to fulfill the basic management functions of planning, programming, operations, and evaluation essential to accomplish program objectives. Moreover, it requires CAA's to address the fundamental issues and alternatives involved in their operations, and to view the budget as their program plan expressed in financial terms.

The principal objective of the process is to improve the basis for major program decisions. Its primary distinctive characteristics are:

- (1) a focus on identifying fundamental objectives and relating all activities to these objectives;
- (2) making future year program and funding implications explicit;
- (3) considering all pertinent costs in relation to objectives; and
- (4) analyzing alternatives systematically.

# CAP GRANT APPLICATION PROCESS



\*Or where appropriate, Headquarters

\*\*The Regional Office may elect to conduct the Field Prereview in two phases. In such cases the second phase occurs before the ninetieth day prior to the program year end and entails a review of the draft funding request.

# Introduction . . .

Specifically, it requires the CAA to clearly define its strategy, goals, and priorities for alleviating poverty. Then, within the framework of its overall strategy and goals, the CAA determines the objectives, selects the program content, and establishes the anticipated results of its individual programs and projects.

## Prereview Prior to Formal Submission

A second principal feature of the application process is in the equal concern for both the completed grant funding request and how that request is prepared. A major step in the preparation of the funding request is the annual field prereview discussed earlier.

## Program Structure

A third feature of the application process is the use of a program structure containing descriptions of the CAA's goals, and, based upon these goals, the selection of a set of goal-oriented projects. The program structure of the CAA is composed of projects made up of various funded program accounts which in turn consist of varying combinations of program activities as illustrated in Exhibits II and III on pages I-5 and I-6.<sup>2</sup>

The CAA develops and submits its program and budget information within this program structure composed of program accounts rather than of administering agencies or other kinds of components. Official grantee financial records are maintained, budgets are submitted, and funds are approved at the program account level. The use of program accounts provides OEO and the CAA's with a uniform system for organizing program and budget information.

Descriptions of the specific program activities (formerly categories of service) performed within program accounts are included in the funding request as supporting information, and for reporting of program results.

The CAA is required to combine into separate projects those program account activities directed toward achieving each major group of CAA-defined objectives as illustrated in Exhibit II. Rarely will activities of a single program account be sufficient to meet the CAA's program objectives. The project, a mechanism for the logical grouping together of all or some of the interdependent and interrelated activities within the program accounts, provides the CAA with a means of defining major poverty problems; de-

termining the overall objectives of the CAA's efforts; and choosing the program accounts and activities necessary to accomplish its goal of alleviating a specified poverty problem.

The use of the project allows the CAA the flexibility to arrange program accounts and activities in combinations responsive to local needs and priorities. Project composition and titles are locally determined. The CAA may find it necessary and desirable to establish and maintain records at the project as well as program account level. This information will enable the CAA to measure its rate of progress toward project goals. In addition, information at the project level will be useful in communicating about meaningful segments of the total CAA program with Board members, program participants, other local agencies, and the community at large.

## EXHIBIT II (page I-5) illustrates:

(a) One program account constituting the entire project. In this instance the Legal Services program account makes up the Legal Services project. There are **few instances** in which project objectives are met with activities of only one program account.

(b) Three program accounts being part of one project. In this example, the West Side Improvement project is composed of activities from Legal Services, Head Start, and Community Organization program accounts. Activities from these program accounts may also be a part of other CAA projects.

(c) The activities of one program account operating as part of several projects. The Community Organization program account is part of the Child Care, West Side Improvement, and Consumer Action projects.

EXHIBIT III (page I-6) is an example of a complete program structure for a medium or large CAA. This structure illustrates three kinds of projects:

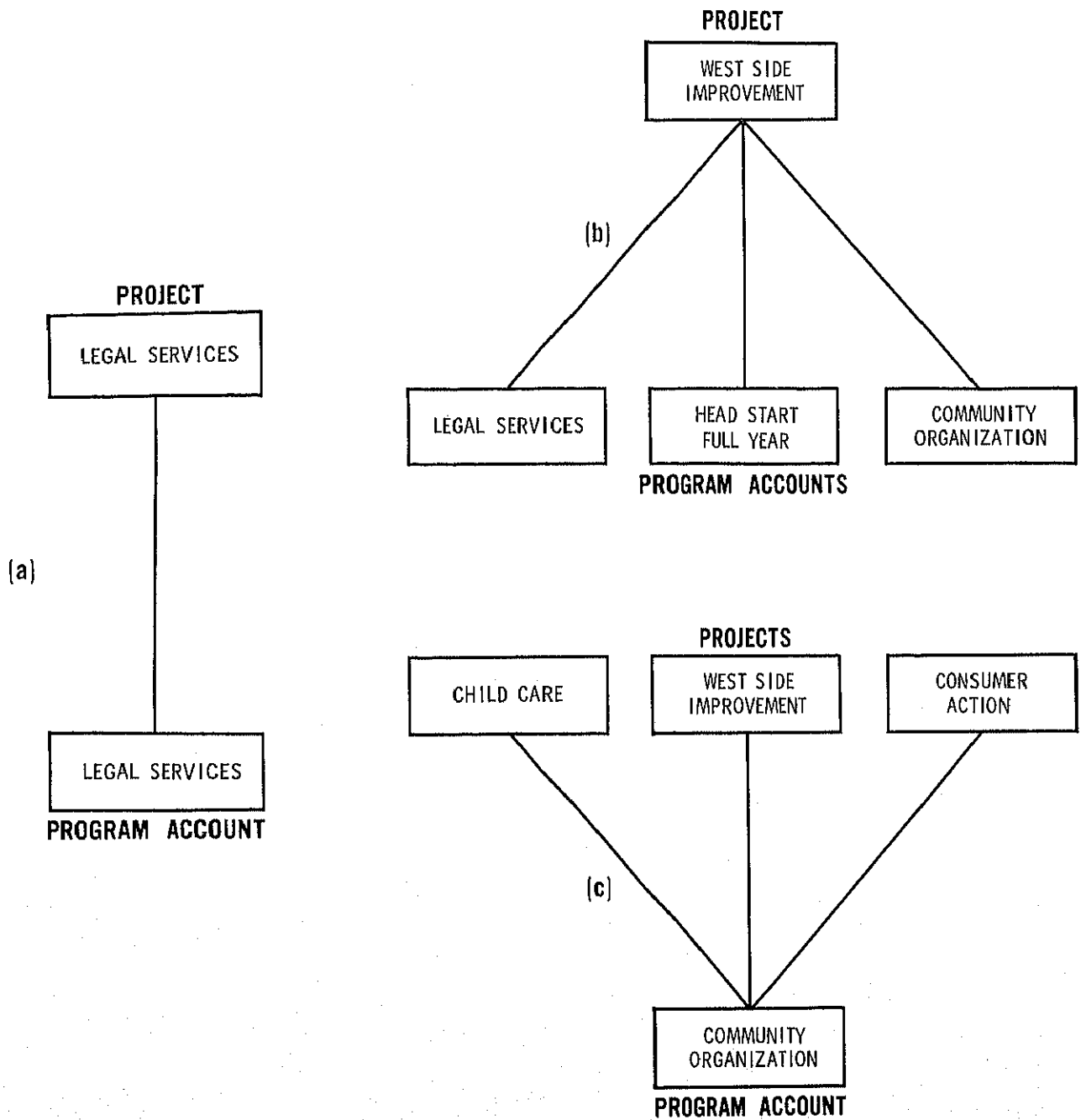
- (1) Consumer action-functional or program oriented;
- (2) West Side Improvement-geographic area; and
- (3) Child Care-specific age group.

## Greater CAA Budget Flexibility

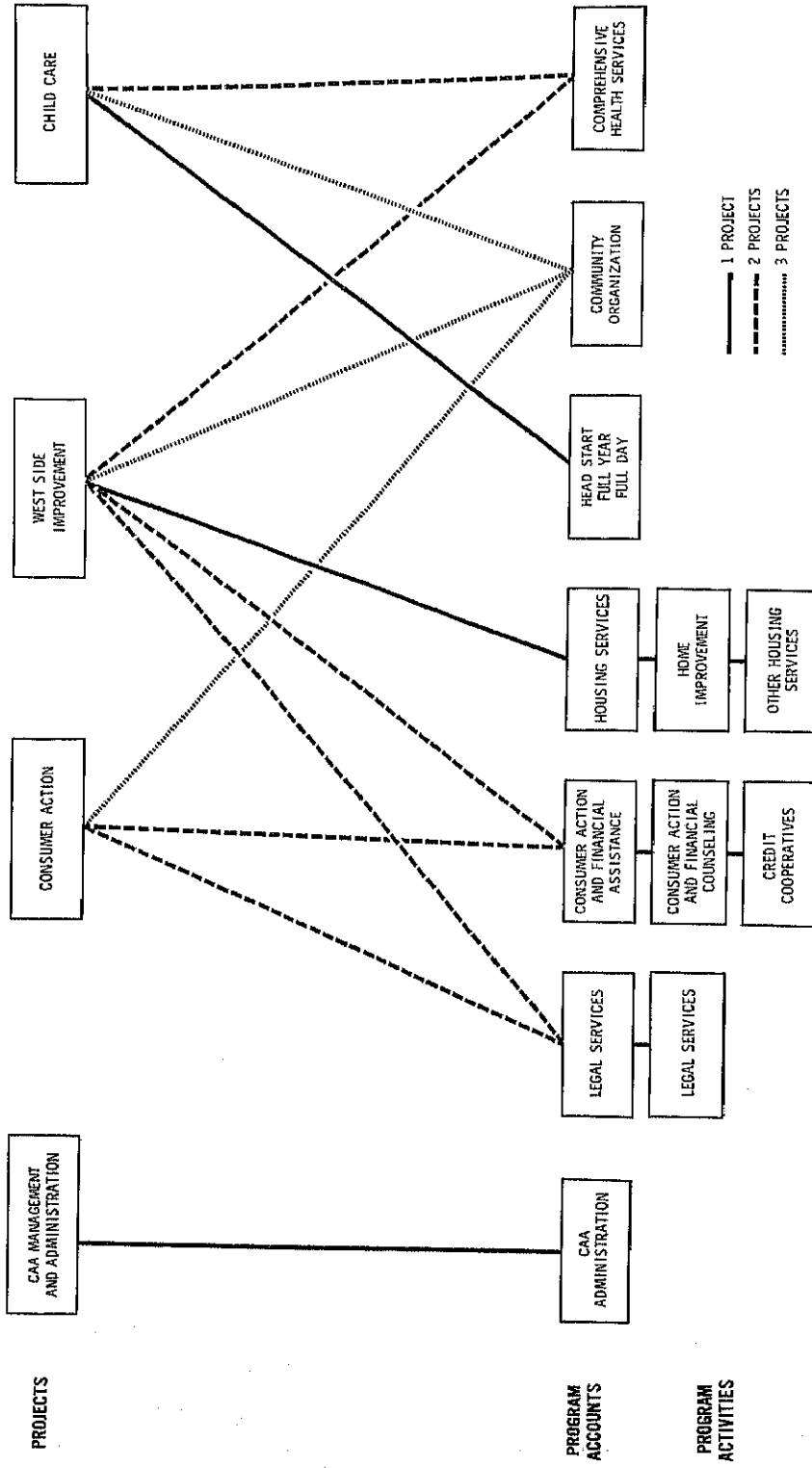
A fourth feature of the application process is that the CAA is provided greater budget flexibility within program accounts. Funding by program account will generally mean fewer and broader program categories into which each grant action is divided. In addition, each program account budget will be approved for only two cost categories, Personnel Costs and Nonpersonnel

<sup>2</sup> See appendix E for a complete listing of program account and activity definitions and terminology.

## PROGRAM STRUCTURE DETAIL



# EXAMPLE OF MEDIUM TO LARGE CAA PROGRAM STRUCTURE



## Introduction . . .

Costs. See the Amendments section for a full discussion of this subject.

### Relationship of Management System

The fifth major characteristic of the application process is that the funding request is not produced in a vacuum. It is but one segment of CAA operations, which in turn are part of an integrated OEO/CAA Management System.

The OEO/CAA Management System refers to the totality of administrative and management functions, programs, policies, and procedures necessary to the operation of community action programs by the CAA.

Seven basic management and administrative activities occur continuously, concurrently or as single annual events within the OEO/CAA Management System. These include:

- (1) systematic planning;
- (2) up-dating eligibility information;
- (3) field prereview;
- (4) preparing and submitting a grant funding request;
- (5) program operation;
- (6) audit, financial, and management information reporting; and
- (7) monitoring and evaluation.

The grant application process, a major part of the OEO/CAA Management System, consists of activities 2, 3, and 4 above which draw on the continuous activities 1, 6, and 7. Planning recommendations on program structure, priorities, and coordination; future year intentions and requirements; and conclusions of evaluation studies all play a significant part in the application process. The funding request, one part of the application process, is the vehicle for recording the conclusions, results, and decisions flowing from each of the other six CAA management activities.

### OEO/CAP Management System

Preliminary planning, the first major activity in the OEO/CAA Management System, begins each year well in advance of the refunding. The CAA first reviews the causes and conditions of poverty in the area it serves. This review is combined with a reassessment of the steps the CAA takes to inject new resources; to redirect existing resources; and to change community attitudes and institutions in such a way as to make possible the elimination of poverty. In this context the CAA evaluates its total program effort; reviews its evaluation and consultant reports; and studies program information

(MIS), financial, and audit reports. At this time OEO provides the grantee with program and funding guidance based upon the most recent available information on Congressional actions and OEO policy.

During the preliminary planning phase, all elements bearing on the CAA operation are taken into consideration. These include the community—its resources, institutions and problems; the CAA—its goals, strategies, priorities and programs; the communities served—their interests needs and resources; OEO—its program and funding policies; and other agencies and organizations—their resources and interest in supporting anti-poverty efforts. Finally, as a result of the step-by-step process in detail a one-year segment of programs, the tentative program decisions are made, and the Community Action Agency Plans and Priorities, CAP Form 81, is prepared.

The second major grantee activity in the OEO/CAA Management System is the submission of new or revised material required for OEO review and determination of the CAA's eligibility to receive OEO funds. This activity is separate from, but occurs simultaneously with, the preliminary planning phase. The third activity involves the joint participation by the grantee and the field representative in the annual field prereview.

The fourth activity is the preparation by the CAA of the formal funding request, incorporating all prereview decisions confirmed by the field representative.

Program operations represent the fifth activity. This activity, of course, is continuous, proceeding throughout the program year. It includes scheduling, staffing, organizing, managing, and providing technical support for all program activities.

The sixth activity involves preparing financial reports, reporting program information (MIS), and conducting an independent annual audit of the CAA's operations.

The seventh activity in the OEO/CAA Management System is the continuous monitoring and evaluation by the CAA of all directly operated and delegated CAP programs. In addition, the grantee assists the OEO Regional (or Headquarters) Office in its annual on-site monitoring visit to assess progress toward OEO objectives and to measure program results against the CAA's expected results.

It is out of this final phase that specific plans for the new program year begin to emerge. Step one, or the program planning phase of the next cycle of the OEO/CAA Management System, is therefore an integral part of step seven in the proceeding cycle.









## II. DETERMINATION OF GRANTEE ELIGIBILITY

At the time a community action agency is recognized by OEO and while it is operating OEO/CAP funded programs, the CAA must comply with a variety of legislative and administrative policy and program requirements. The annual review and determination of a CAA's continuing eligibility to receive OEO/CAP funds is based on documentation certifying to or indicating the CAA's compliance with these requirements, OEO's assessment of CAA performance and availability of community action program funds.

During the year, the CAA submits the forms, documents or reports listed below to establish and maintain eligibility. Three of these forms are included in this section: (a) Community Action Agency Basic Information, CAP Form 3; (b) Delegate Agency Basic Information, CAP Form 87; and (c) Assurance of Compliance with the Civil Rights Act, CAP Form 11.

Forms, documents and reports are submitted to the appropriate Regional or Headquarters Office. If the CAA is funded for a Comprehensive Health Services or Upward Bound program account, one additional copy of some of the forms (asterisked) must be submitted to the Health Services or Upward Bound Office as shown in Appendix A. One copy of each item is submitted unless more are called for in separate instructions for each form.

### **A. Documents Submitted ONCE Only, No Later Than the Date Indicated:**

1. Certification of Compliance with Section 211 of the 1967 Amendments to the Economic Opportunity Act, CAP Form 75; before final request for recognition; no later than December 1, 1968.
2. Statement of Accounting System; before release of funds for initial grant action.
3. Preliminary Audit Survey; 90 days after release of funds for initial grant action.

### **B. Documents Submitted ANNUALLY to reach the Regional or Headquarters Office at least 130 days before program year end:**

(Amendments or changes to information in these documents are also submitted as they occur).

1. Report and Minutes of Public Board Meeting on CAA Plans and Priorities.
2. Interim Administrative Cost Report.
3. State of current Bond.
4. Certification of Wage Comparability.
5. List of employees earning \$10,000 or more.
6. Personnel Policies and Procedures.
7. Community Action Agency Basic Information, CAP Form 3.
8. Delegate Agency Basic Information, CAP Form 87.
9. Assurance of Compliance with the Civil Rights Act, CAP Form 11.

### **C. Documents Submitted ANNUALLY 90 days following program year end:**

1. Final Administrative Cost Report.
- \*2. Final Unexpended Federal Funds Report, CAP Form 28.
- \*3. Final Monthly Financial Report, CAP Form 15 and attachments.
4. Biographic Data on key staff employees (for current program).

### **\*D. Reports Submitted MONTHLY to reach the Regional or Headquarters Office by the 15th day of each month:**

1. Monthly Financial Report, CAP Form 15, and attachments.

### **\*E. Reports Submitted QUARTERLY to reach the Regional or Headquarters Office by the 20th of the month following the end of the quarter:**

1. Program Progress Reports.
2. Narrative Summary Report.
3. Participant Characteristics Report.

### **F. Reports Submitted ANNUALLY as available:**

1. Independent Audit Report.
2. CAA Evaluation Report.

### **G. Reports Submitted as Required by OEO:** Additional Preliminary Audit Survey.

## OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM

Form Approved,  
Budget Bureau No. 116-R0155

## COMMUNITY ACTION AGENCY BASIC INFORMATION

ORGANIZATION NO.

DATE PREPARED

## SECTION I. IDENTIFICATION OF COMMUNITY ACTION AGENCY

1. NAME OF CAA \_\_\_\_\_

2. MAILING ADDRESS \_\_\_\_\_

NO. AND STREET \_\_\_\_\_

CITY \_\_\_\_\_

COUNTY \_\_\_\_\_

STATE \_\_\_\_\_

ZIP CODE \_\_\_\_\_

3. TELEPHONE NO.  
(Include Area Code) \_\_\_\_\_

4. GRANT NUMBERS \_\_\_\_\_

5. DATE OF INITIAL OEO/CAP FUNDING \_\_\_\_\_

6. IRS EMPLOYER IDENTIFICATION NO. \_\_\_\_\_

## SECTION II. TYPE OF COMMUNITY ACTION AGENCY

7. ☐ POLITICAL JURISDICTION OR COMBINATION OF POLITICAL JURISDICTIONS:

a. NAME \_\_\_\_\_

b. DESIGNATED CAA:

a. ☐ PUBLIC AGENCY☐ STATE ☐ COUNTY ☐ CITY ☐ TERRITORY ☐ TRIBAL COUNCIL☐ REGIONAL (Identify) \_\_\_\_\_b. ☐ PRIVATE NONPROFIT ORGANIZATION(1) ☐ INCORPORATED DATE AND STATE OF INCORPORATION \_\_\_\_\_(2) ☐ UNINCORPORATED DATE OF ORIGIN \_\_\_\_\_

(3) DATE OF IRS RULING ON NONPROFIT STATUS \_\_\_\_\_

c. POLITICAL JURISDICTION(S) DESIGNATING CAA:

(1) NAME \_\_\_\_\_ (2) TYPE \_\_\_\_\_

(3) DATE OF DESIGNATION \_\_\_\_\_ (4) DATE OF OEO RECOGNITION \_\_\_\_\_

9. ☐ URBAN ☐ RURAL

## SECTION III. GEOGRAPHIC COVERAGE

10. TYPE OF AREA SERVED

☐ MULTISTATE ☐ STATE ☐ MULTICOUNTY ☐ COUNTY ☐ LESS THAN COUNTY-WIDE ☐ CITY☐ LESS THAN CITY-WIDE ☐ TERRITORY ☐ RESERVATION ☐ OTHER (Identify) \_\_\_\_\_

11. IDENTIFICATION OF AREA SERVED

COUNTIES \_\_\_\_\_

CONGRESSIONAL DISTRICT(S) \_\_\_\_\_

11. (Continued)

## IDENTIFICATION OF AREA SERVED

CITIES

CONGRESSIONAL DISTRICT(S)

AREAS NOT INCLUDED

## SECTION IV.

## POPULATION

12. TOTAL POPULATION

13. URBAN POPULATION

14. RURAL POPULATION

PCT.

%

NUMBER

PCT.

%

NUMBER

## SECTION V.

## POLICY-MAKING AND PROGRAM AND MANAGEMENT STRUCTURE

15. NAME OF EXECUTIVE DIRECTOR

16. POSITION TITLE OF OFFICIALS AUTHORIZED TO SIGN JUSTIFICATION OF PROGRAM ACCOUNT AMENDMENT (CAP Form 25b)

17. NAME AND TITLE OF PRINCIPAL GOVERNING OFFICIAL

18. PRINCIPAL REPRESENTATIVE BOARD

a. ☐ GOVERNING BOARD

PRINCIPAL OFFICER

b. ☐ ADMINISTERING BOARD

PRINCIPAL OFFICER

c.

## SUMMARY OF BOARD COMPOSITION

CATEGORY OF REPRESENTATION	TOTAL NO.	ETHNIC/RACIAL ORIGINS					NO. WITH INCOME BELOW POVERTY LINE
		CAUCASIAN	NEGRO	SPANISH SURNAME	INDIAN	OTHER	
PUBLIC REPRESENTATIVES							
REPRESENTATIVES OF THE POOR							
REPRESENTATIVES OF PRIVATE GROUPS							
TOTAL							
d. PERCENTAGE OF MINORITY MEMBERS ON BOARD				e. PERCENTAGE OF MINORITY POPULATION IN GEOGRAPHIC AREA SERVED BY THE CAA			

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19.

Attach a copy of the CAA's Articles of Incorporation or Charter and By-laws. If the CAA does not have Articles, a Charter or By-laws, submit the establishing laws and rules of organization.

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20.

Attach a generalized organization chart for the whole community action program.

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21.

If the CAA has an administering board, describe the division of responsibility between it and the governing officials. Indicate what authority has been delegated to the administering board.

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22.

Describe the relationship between the Principal Representative Board and the Office of the Executive Director.

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23.

Describe the relationships and division of responsibilities between the Principal Representative Board and Executive Director on the one hand, and delegate agencies, area boards and county boards on the other (*exclude Policy Advisory Committees*). Indicate which functions are carried on by these boards and list the authority which has been delegated by the Principal Representative Board (*or Executive Director if so empowered*) to specific boards.

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24.

Describe the method of selecting members to the Principal Representative Board, Area Boards and County Boards.

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# Instructions: CAA Basic Information, CAP Form 3

The Community Action Agency Basic Information, CAP Form 3, gives information on the CAA's structure and organization. This form is submitted to the appropriate Regional Office or Office of Special Field Programs, no later than 180 days prior to the end of the CAA's program year. All items on the form must be completed. Statements submitted on separate sheets should be identified by CAA grant number and item number and attached to the printed form.

If information on any item of the CAP 3 changes during the Program Year send a dated copy of the amended item to the Regional Office or Office of Special Field Programs, indicating the change.

The following instructions relate to specific items on the form. If no instruction is included, the item is considered self-explanatory.

**Organization Number:** The organization number is a number unique to a community action agency by which OEO identifies the CAA through its data processing system. OEO will provide each CAA with its number. This number should not be confused with the CAA's grant number.

## SECTION I. Identification of Community Action Agency:

**Item 4—Grant Numbers:** List all active grant numbers under which the CAA is currently running OEO/CAP funded programs regardless of the section of the Act or type of program. In brackets list all inactive grant numbers under which the CAA previously received funds from OEO/CAP. The CAA might have separate active numbers for programs such as: Head Start, Comprehensive Health Services, Training, and Research and Demonstration. Inactive grant numbers might include grants previously made to single county CAAs which have now become part of a multi-county CAA.

**Item 5—Date of Initial OEO/CAP Funding:** If the CAA is a successor to a previously funded CAA, give the date of the first CAP grant to the original CAA or to any of its units.

**Item 6—IRS Employer Identification Number:** This is the number issued by the Internal Revenue Service for withholding tax purposes.

## SECTION II. Type of Community Action Agency: Complete either Item 7 or 8.

**Items 8a and 8b—Public Agency, Private Nonprofit Organization:** Check either a. Public Agency or b. Private Nonprofit Organization. If the CAA is a public agency, check the appropriate box under a. If the CAA is a private nonprofit or-

ganization, check either (1) incorporated and show the date the CAA's Articles of Incorporation were approved or (2) unincorporated and given the date of origin.

**Item 8c—Political Jurisdiction(s) Designating CAA:** Indicate whether state, county, city or tribal council. Date of Designation is the date the political jurisdiction designated the CAA. Date of OEO Recognition is the date OEO approves the designation of the CAA and finds it capable of planning, administering and evaluating a community action program.

**Item 9—Urban, Rural:** A rural CAA is one where 50% of the population or more is rural; it is still defined as "rural" with less than 50% rural population if there are no cities or other political subdivisions of more than 10,000 population. If a CAA has its target areas in more than one county, these criteria apply to the total population of all counties. All other CAA's are classified "urban".

## SECTION III. Geographic Coverage:

**Item 11—Identification of Area Served:** List all counties and all cities with populations of 25,000 or more served by the CAA. If there is no city with 25,000, give the name and population of the largest city. Under areas not included, list the political subdivisions (e.g. county, city, independent township) within the boundaries of the area served by the CAA not included in the community action program.

## SECTION IV. Population:

**Items 12, 13 and 14—Total Population, Urban Population, Rural Population:** Give the total population, the urban population (political subdivisions of 10,000 or more) and the rural population and percentage of each of the total population.

## SECTION V. Policy-Making and Program Management Structure:

**Item 16—Position Title of Officials Authorized to Sign CAP Form 25b:** List all position titles (not names of people actually filling positions) of CAA staff authorized to sign the Justification of Program Account Amendment (CAP 25b).

**Item 17—Name and Title of Principal Governing Official:** Complete this item only if the CAA is a political jurisdiction.

**Item 18—Principal Representative Board:** Complete either a if the CAA is a public or private non-profit organization or b if the CAA is a political jurisdiction. Check the appropriate box

## CAP 3 . . .

and give the name of the principal officer of the board.

**Item 18c—Summary of Board Composition:** For each group give the total number of representatives, the number in each ethnic/racial origin category and the number who are below the OEO poverty guidelines.

**Item 20—Organization Chart:** The chart should show the relationships between the units of the CAA: Governing Officials, Principal Representative Board, its committees, central staff, county boards, area boards, and delegate agencies.

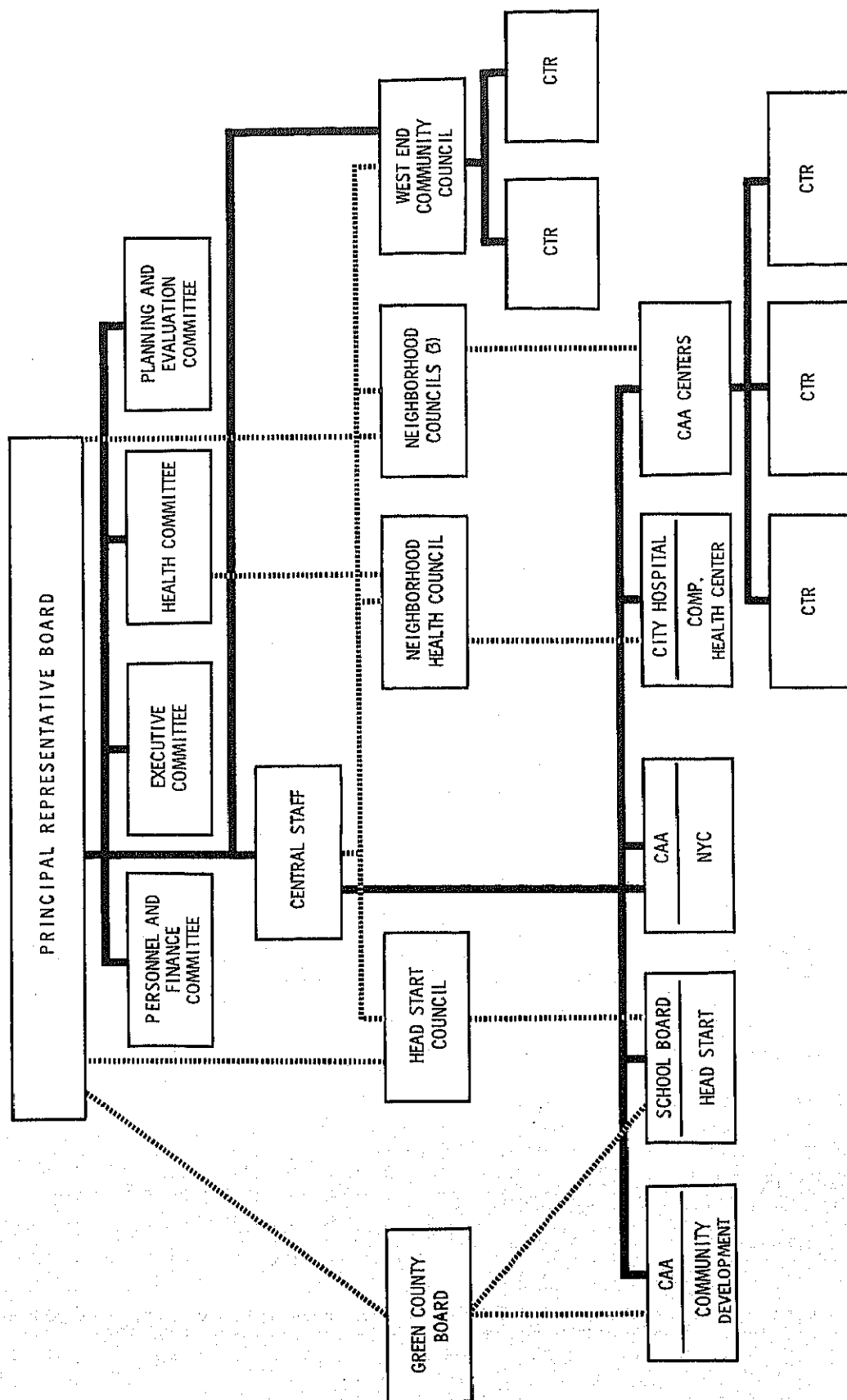
**Item 22—Relationship Between Principal Representative Board and the Office of the Executive Director:** Discuss the division of responsibility and authority among the various officials and units involved such as the Principal Representative Board as a whole, the chairman, the Executive or Steering Committee, other Prin-

icipal Representative Board committees, the Executive Director, his Deputy, the principal planning or project development, financial, personnel and program coordination officers of the "Office of the Executive Director". These relationships should be expressed in terms of their influence on day-to-day business and on less frequent but major decisions involving planning, project selection and budget, key personnel selection, and CAA policies.

Note: Some CAA's will have some or all of the information asked in items 20 through 24 in the form of an Organization Guide or Handbook. Normally, such documents include organization structure charts and functional statements, but do not include, except implicitly, delegations of authority or descriptions of relationships among units. In any event, where qualifying documents exist they may be submitted in answer to these items. CAA's which do not have qualifying documents as a matter of normal routine must respond to the specific questions.



# COMMUNITY ACTION AGENCY ORGANIZATION CHART



## OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM

Form Approved,  
Budget Bureau No. 116-R0150

## DELEGATE AGENCY BASIC INFORMATION

ORGANIZATION NO.

DATE PREPARED

## SECTION I. IDENTIFICATION OF COMMUNITY ACTION AGENCY

1. NAME OF CAA

2. GRANT NO.

## SECTION II. IDENTIFICATION OF DELEGATE AGENCY

3. NAME OF DELEGATE AGENCY

## 4. MAILING ADDRESS

NO. AND STREET

CITY

COUNTY

STATE

ZIP CODE

5. TELEPHONE NO. (Include Area Code)

6. IRS EMPLOYER IDENTIFICATION NO.

## SECTION III. TYPE OF AGENCY

7. ☐ PUBLIC AGENCY:a. GOVERNMENT: ☐ STATE ☐ COUNTY ☐ CITY ☐ TERRITORY ☐ TRIBAL COUNCIL☐ OTHER (Identify) \_\_\_\_\_b. PUBLIC AGENCY: ☐ INSTITUTION OF HIGHER EDUCATION ☐ EMPLOYMENT ☐ ELEMENTARY OR SECONDARY SCHOOL☐ HEALTH ☐ WELFARE ☐ OTHER (Identify) \_\_\_\_\_8. ☐ PRIVATE NONPROFIT ORGANIZATION:☐ INSTITUTION OF HIGHER EDUCATION ☐ RELIGIOUS ORGANIZATION ☐ ELEMENTARY OR SECONDARY SCHOOL☐ LEGAL SOCIETY ☐ HEALTH ☐ WELFARE ☐ EMPLOYMENT ☐ NEIGHBORHOOD BASED ORGANIZATION☐ OTHER (Identify) \_\_\_\_\_

## SECTION IV. PROGRAM ADMINISTRATION

9. PROGRAM DIRECTOR

a. NAME

b. ATTACH A STATEMENT OF THE JOB QUALIFICATIONS, THE JOB DESCRIPTION AND A BIOGRAPHICAL RESUME FOR THE PROGRAM DIRECTOR

10. WHAT PROGRAM ACCOUNTS WILL THE DELEGATE AGENCY ADMINISTER?

## SECTION V. SUMMARY EVALUATION OF DELEGATE AGENCY (To be completed by the CAA)

11. IS THIS A NEW DELEGATE AGENCY OF THE CAA?

☐ YES☐ NO

12. DESCRIBE HOW THE CAA WILL MAKE SURE THAT THE DELEGATE AGENCY COMPLIES WITH OEO AND CAA POLICIES AND FULFILLS THE WORK PROGRAM OBJECTIVES.

13. IF THE DELEGATE AGENCY HAS PREVIOUSLY OPERATED CAA PROGRAMS, PROVIDE A BRIEF EVALUATION OF ITS PERFORMANCE TO DATE. IF NOT, DESCRIBE ITS QUALIFICATIONS TO OPERATE THE DELEGATED PROGRAM.

# Instructions: Delegate Agency Basic Information, CAP 87

The Delegate Agency Basic Information, CAP Form 87, is completed for **each** delegate agency which will operate an OEO/CAP program. One copy of the form for each delegate agency is submitted to the appropriate Regional Office or Office of Special Field Programs annually, at least 180 days prior to the end of the applicant agency's program year. All items on the form must be answered. Answers submitted on separate sheets should be identified by delegate agency name, CAA grant number and item number. Attach separate sheets to the printed form.

Submit one additional copy of the CAP 87 and attachments for delegate agencies administering Comprehensive Health Services and Legal Services program accounts to the Health Services and Legal Services Offices in Washington, respectively.

Submit three additional copies of the CAP 87 and attachments for delegate agencies administering Upward Bound program accounts to the Upward Bound Office in Washington.

CAP 87 may be completed by the CAA or the delegate agency **except** that Section V **must** be answered by the CAA. **Delegate agencies for Comprehensive Health Services program accounts must complete the CAP 87 except for Section V.**

The following instructions relate to specific items on the form. If no instruction is included, the item is considered self-explanatory.

**Organization Number:** The organization number is a number unique to a delegate agency by which OEO identifies the delegate through its data processing system. OEO will provide each delegate agency with its number.

## SECTION II. Identification of Delegate Agency:

**Item 6—IRS Employer Identification Number:** This is the number issued by the Internal Revenue Service for withholding tax purposes.

## SECTION III. Type of Agency:

Complete either item 7 or item 8.

**Special instructions for Upward Bound delegate agencies:** In an attachment indicate whether the institution of higher education is accredited by the Regional Accrediting Association or, if a secondary school, by the State or Regional Accrediting Institution. Give the name of the

accrediting association or institution and the date of the most recent accreditation.

**Item 7—Public Agency:** Complete either a or b and check the type of agency within these two categories.

**Item 8—Private Nonprofit Organization:** Check the appropriate box.

## SECTION IV. Program Administration:

**Item 9—Program Director:** Program Director refers to the senior staff person who will be responsible for directing the delegated program. It does not necessarily mean the Executive Director of the delegate agency.

**Special instructions for Upward Bound delegate agencies:** The biographical resume for the Program Director should include: age, place and date of birth; high school attended and date of graduation; post-secondary education degrees, date(s) of graduation and major fields of study; teaching experience, including location and type(s) of schools; experience, if any, in working with disadvantaged individuals or groups; present position and employing institution; committed salary for the academic year for which the Upward Bound program is being proposed and number of months upon which the salary is based. If a Program Director has not been selected, the biographical information should be submitted as soon as the Director is proposed.

**Item 10—Program Accounts Administered by Delegate Agency:** List the program name and number of the account(s) or portion(s) of the program account(s) the delegate agency will administer.

## SECTION V. Summary Evaluation of Delegate Agency (to be completed by CAA):

**Item 12—CAA Supervision of Delegate Agency:** Describe the supervision the CAA will exercise over delegate agency operations and how such supervision will be effected.

**Item 13—CAA Evaluation of Delegate Agency:** Describe the strengths and weaknesses in the delegate agency's operation of the program. Discuss issues which have arisen between the delegate agency and CAA during the past year and how they are being resolved. Identify changes the CAA plans to make in the contract with the delegate agency for the coming program year.

OFFICE OF ECONOMIC OPPORTUNITY  
Community Action Program

**Assurance of Compliance with the Office of  
Economic Opportunity's Regulations under  
Title VI of the Civil Rights Act of 1964**

(hereinafter called the "Applicant")

\_\_\_\_\_  
(Name of Applicant or Delegate Agency)

AGREES THAT it will comply with title VI of the Civil Rights Act of 1964 (P. L. 88-352) and the Regulations of the Office of Economic Opportunity issued pursuant to that title (45 C.F.R. Part 1010), to the end that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance either directly or indirectly from the Office of Economic Opportunity; and HEREBY GIVES ASSURANCE THAT it will immediately take any measures necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Applicant either directly or indirectly by the Office of Economic Opportunity, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance shall obligate the Applicant for the period during which the Federal financial assistance is extended to it either directly or indirectly by the Office of Economic Opportunity.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining either directly or indirectly any and all Federal grants, loans, contracts, property, or discounts, the referral or assignment of VISTA volunteers, or other Federal financial assistance extended after the date hereof to the Applicant by the Office of Economic Opportunity, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Applicant recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignee, and the person or persons whose signatures appear below are authorized to sign this assurance on behalf of the Applicant.

Date \_\_\_\_\_

\_\_\_\_\_  
(Name of Applicant or Delegate Agency)

By \_\_\_\_\_  
(President, Chairman of Board, or  
comparable authorized official)

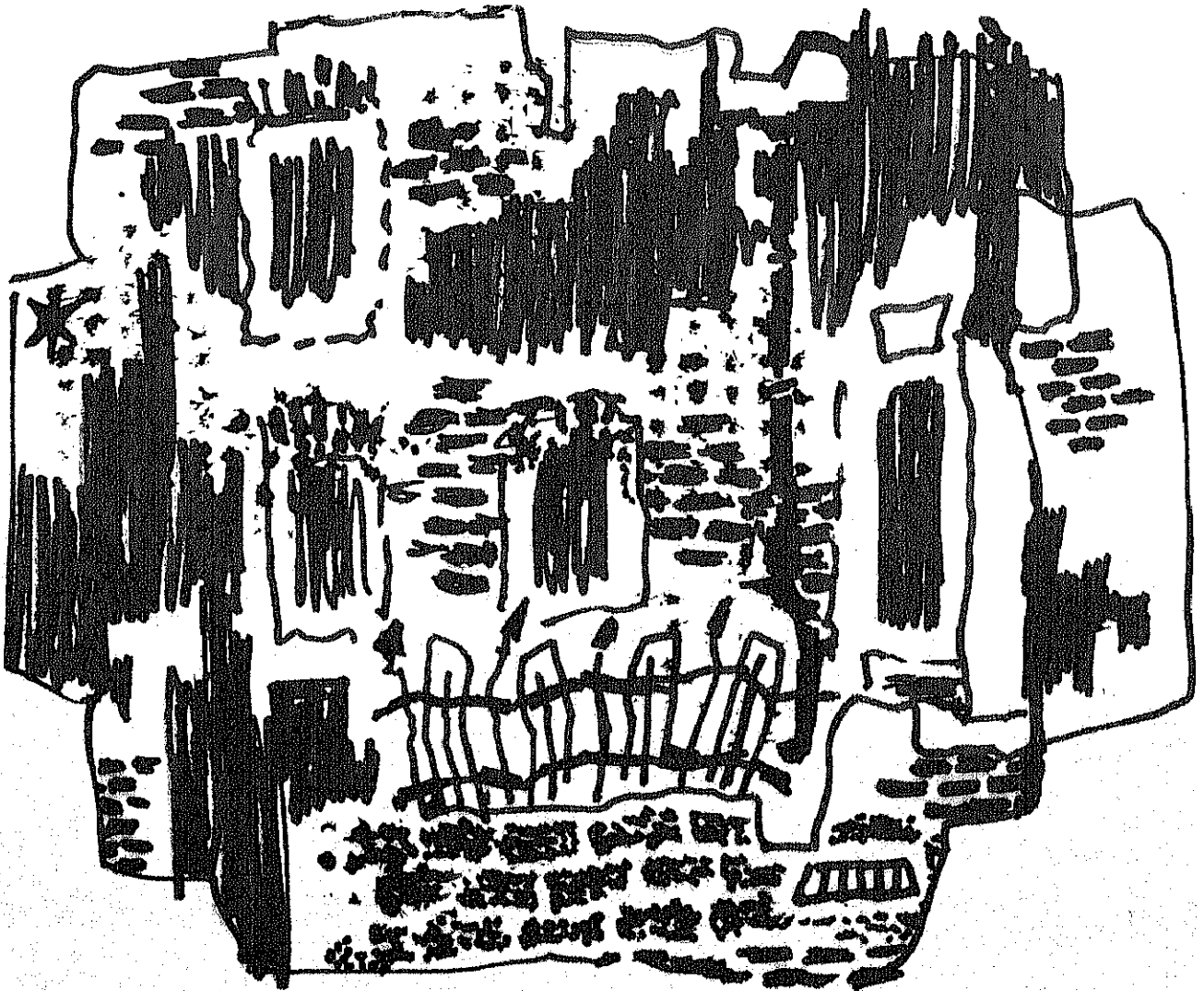
\_\_\_\_\_  
(Mailing address)

# Instructions: Compliance with Civil Rights Act of 1964, CAP Form 11

Each community action agency and each delegate agency performing all or part of the functions described in the work program of any program account of a community action program must complete the Assurance of Compliance with the Office of Economic Opportunity's Regulations under Title VI of the Civil Rights Act of 1964, CAP Form 11. This constitutes a legally enforceable promise that the program will be conducted and all program facilities operated in compliance with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and the regulations of the Office of Economic Opportunity (45 C.F.R. Part 1010) promulgated under that Title.

The CAP 11 is signed by the Principal Governing Official or Principal Officer of the Governing Board of the CAA. It is signed by the President or Chairman of the Board of delegate agencies.

One copy of the CAP 11 for the CAA and for each delegate agency is submitted to the appropriate Regional Office or Office of Special Field Programs annually, no later than 180 days before the end of the CAA's program year. If the CAA plans to request OEO funding for Comprehensive Health Services or Upward Bound program accounts, submit one additional copy of the CAP 11 for the CAA and delegate agencies for these programs to the appropriate office in OEO/CAP, Washington.











### III. PLANNING AND PREREVIEW

Planning is a set of activities by which the CAA attempts to make rational decisions about action to be taken in the future on the basis of the most complete and most adequate information that can be obtained. Information is adequate to the extent it is relevant, objective, and up-to-date. Totally complete information is never obtainable; sufficient information for planning will always be a compromise between what is most desirable and what reasonably can be collected and analyzed on a timely basis.

The term used to describe the most appropriate kind of planning for the CAA is "social planning" which may be defined as a development and refinement of knowledge and insights about people's needs as a part of comprehensive planning, and the more direct and explicit interjection of democratic values and citizen participation into the planning activities of the community. This kind of planning by the CAA will usually not include long range planning, such as that which tries to design a desirable state of affairs for twenty or more years in the future.

Basic planning activities include: identifying and analyzing needs; setting goals and priorities; determining strategies and objectives; assessing available resources; identifying programs to achieve the specified goals; further refining strategies and objectives; selecting the program or combination of programs to be undertaken during a program year; projecting the level of activity and program structure into future years (often 3 to 5 years); and analyzing evaluation and monitoring information and feeding the results back into the process.

The CAA will be concerned not only with planning its own program, but with collaborative and advocacy planning. Collaborative planning is joint planning by different interest groups as equals. The CAA as an agency should seek a collaborative planning role in relation to other interests participating in related community planning efforts. Advocacy planning refers to planning by an independent group such as a neighborhood organization, with the intention of trying to get its plan

accepted by a superior body such as the CAA Board. Advocacy planning may be competitive, with a prior understanding that the best of several plans submitted will be accepted. The CAA should work with the poor to help them develop the capacity to do such planning.

As a part of the application process the CAA describes both its plans and the manner in which they were developed. Two forms are completed and submitted prior to the Field Prereview for this purpose:

- (1) Community Information, CAP Form 5.
- (2) CAA Plans and Priorities, CAP Form 81.

The Community Information Form, which requires annual updating to incorporate the most current information available, provides basic data on the composition of the poverty population. This data is used by the CAA to identify poverty problems and establish agency objectives.

The CAP 81, also updated annually by the CAA, describes the CAA goals, strategies, priorities, and program structure and objectives. These descriptions reflect the planning that goes on in the agency throughout the year.

The preparation of the CAP 81 represents one of the final steps in the planning phase before the annual prereview. It must be approved by the governing board, or by the governing officials, and cleared by the administering board, county and area boards, and major policy advisory committees. Copies of CAA Plans and Priorities are submitted to the Regional or Headquarters Offices no later than 130 days prior to the end of the program year.

Approximately 120 days before the end of the program year the annual field prereview is conducted at the CAA. Prereview discussions are an integral and crucial part of the application process. They follow OEO's tentative determination of CAA eligibility to receive funds and precede preparation of the grant funding request. Moreover, they can result in OEO's commitment to

refund the CAA and in the basic decisions on the CAA's program structure and funding requirements.

The primary focus and structure for the pre-review is provided by the contents of the CAP 5, and the CAP 81. The eligibility status of the CAA and additional steps it must take to be found eligible for continued funding are also discussed during the prereview.

The prereview involves members of the CAA board, county and area boards major policy advisory committees, CAA central and delegate agency staffs, and the field representative in a comprehensive review and discussion of the CAA's proposed work program in the context of the CAA's long and short term strategy and objectives; requested level of program activity in terms of the approved and current levels; probable carry-over balance, if any; possible sources of funding; the level of budget detail required in the funding request; and the maximum program level for which the CAA can be funded in the coming program year.

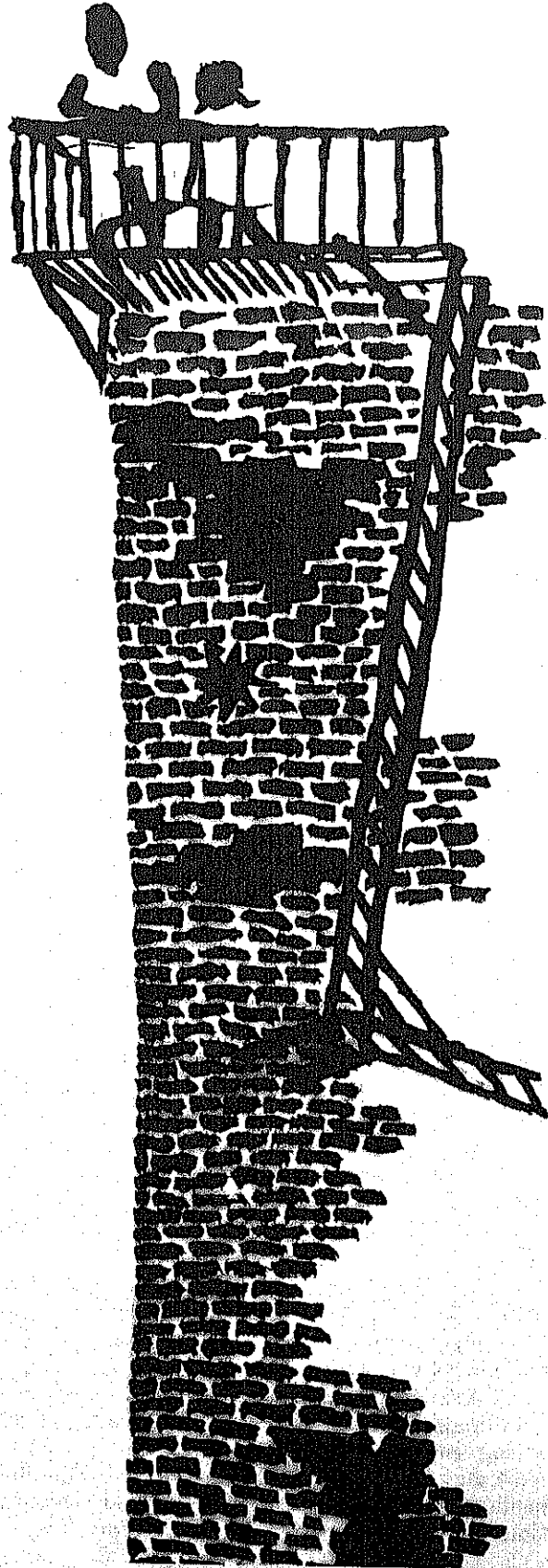
Prior to the conclusion of the prereview, participants review tentative decisions and agreements reached during the session. If possible, governing, administering, and advisory board actions required on prereview agreements and issues are taken at this time. Draft funding request forms may in some cases be prepared before the end of the prereview.

At the conclusion of prereview, the representatives of CAA and OEO jointly draft a memorandum summarizing the prereview discussions, including agreements reached and defining areas of disagreement, if any. A copy of this memorandum will be retained by the field representative.

Approximately ten days following the conclusion of the prereview the CAA receives a Letter of Understanding from the Regional or Headquarters Office detailing and confirming the tentative agreements between the CAA and field representative. These agreements are the basis upon which the formal funding request is prepared. Requests for a program level exceeding that agreed upon by the CAA and OEO during the prereview and confirmed in the Letter of Understanding will not be accepted by OEO for review and funding.

While the Letter of Understanding is not a legal document, it is a statement of OEO's intent, and subject to modification only if congressional appropriations or OEO policy change.

In the event changes in the agreements are required, the field representative will immediately inform the CAA. Likewise, changes the CAA wishes to make are immediately discussed with the field representative.



**Office of Economic Opportunity  
APPLICATION FOR COMMUNITY ACTION PROGRAM**

FORM APPROVED.  
BUDGET BUREAU NO. 116-R019

**CAP 5. COMMUNITY INFORMATION**

NAME OF APPLICANT AGENCY

DO NOT FILL IN: (For Administrative Use)

**5.1 COMMUNITY TO BE SERVED** Describe community boundaries in terms of city(ies), county(ies), state(s), Indian reservation(s), etc., which are included. Attach a map showing the boundaries of the community.

**5.2 COMMUNITY SUBDIVISIONS** Have you divided the community into an area or areas with heavy concentration of poverty? If so, indicate such areas as "A", "B", "C", "D", etc. on the above specified map and state below the basis for deciding on the boundaries of such areas. For example, are the areas Census tracts, enumeration districts, school attendance districts, planning areas, etc.?

**5.3 INCIDENCE OF POVERTY** Provide the latest readily available information on the community with respect to as many of the following categories as feasible. If you have subdivided the community into areas, as described above, also provide the information for each area. Substitute or add other categories and related statistics as necessary to demonstrate the incidence of poverty.

Attach a statement describing the sources and time period of the information. Information obtained from the 1960 U. S. Census of Population and Housing may be noted by placing an asterisk (\*) to the right of the ITEM name below. See the CAP GUIDE for suggested sources of information.

	ITEM	COMMUNITY TOTAL	AREA "A"	AREA "B"	AREA "C"
5.3.1 POP.	TOTAL POPULATION				
	PERCENT OF POPULATION LIVING IN RURAL AREAS	%	%	%	%
5.3.2 FAMILY INCOME	TOTAL NUMBER OF FAMILIES				
	TOTAL NUMBER OF FAMILIES WITH INCOME LESS THAN \$3,000				
	PERCENT OF ALL FAMILIES WITH INCOME LESS THAN \$3,000	%	%	%	%
	FAMILIES WITH INCOME LESS THAN \$1,000				
	FAMILIES WITH INCOME FROM \$1,000 - \$1,999				
	FAMILIES WITH INCOME FROM \$2,000 - \$2,999				
5.3.3 UNEMPLOYMENT	MALES 14 AND OVER IN CIVILIAN LABOR FORCE				
	PERCENT OF SUCH MALES WHO ARE UNEMPLOYED	%	%	%	%
	FEMALES 14 AND OVER IN CIVILIAN LABOR FORCE				
	PERCENT OF SUCH FEMALES WHO ARE UNEMPLOYED	%	%	%	%
5.3.4 WELFARE	PERSONS UNDER 21				
	PERCENT OF PERSONS UNDER 21 RECEIVING A.F.D.C. PAYMENTS	%	%	%	%
	PERSONS AGED 65 AND OVER				
	PERCENT OF PERSONS 65 AND OVER RECEIVING OLD-AGE ASSISTANCE	%	%	%	%

(Continued on Page 2 of this form.)

## CAP 5. COMMUNITY INFORMATION (Continued)

NAME OF APPLICANT AGENCY		DO NOT FILL IN: (For Administrative Use)			
ITEM		COMMUNITY TOTAL	AREA "A"	AREA "B"	AREA "C"
5.3.5 EDUCATION	PERCENT OF PERSONS ENROLLED IN SCHOOL (14 and 15 years old)	%	%	%	%
	PERCENT OF PERSONS ENROLLED IN SCHOOL (16 and 17 years old)	%	%	%	%
	TOTAL NUMBER OF PERSONS 25 YEARS OLD AND OVER				
	PERSONS 25 AND OVER WITH LESS THAN 8 YEARS OF EDUCATION				
	PERCENT OF PERSONS 25 AND OVER WITH LESS THAN 8 YEARS OF EDUCATION	%	%	%	%
5.3.6 SELECTIVE SERVICE	PERSONS AGED 18 TO 25 WHO WERE EXAMINED BY SELECTIVE SERVICE				
	PERSONS REJECTED BY SELECTIVE SERVICE (4F and 1Y)				
	PERCENT OF PERSONS EXAMINED WHO WERE REJECTED BY SELECTIVE SERVICE (4F and 1Y)	%	%	%	%
5.3.7 HEALTH	BIRTHS PER YEAR				
	DEATHS PER YEAR OF INFANTS UNDER 12 MONTHS				
	INFANT DEATHS AS A PERCENT OF BIRTHS PER YEAR	%	%	%	%
5.3.8 HOUSING	ALL HOUSING UNITS				
	NUMBER OF HOUSING UNITS WHICH ARE SUBSTANDARD				
	PERCENT OF ALL HOUSING UNITS WHICH ARE SUBSTANDARD	%	%	%	%
5.3.9 MINORITY GROUPS	(Specify group and number of persons in each.)				
5.3.10 OTHER	(Specify category and number of persons in each.)				

# Instructions: Community Information, CAP Form 5

In the Community Information, CAP Form 5, the CAA describes the community to be served in terms of the character and incidence of poverty in the community.

In completing the CAP 5, the CAA should use the latest sources of information available for each item. For example, the U.S. Bureau of the Census has updated census estimates and the Bureau of Labor Statistics maintains revised employment data.

The most useful general sources on the incidence of poverty are the U.S. Census Population, 1960 and the U.S. Census of Housing, 1960. (These sources should be used only if no more recent information is available.) Descriptions of the complete publication program for these censuses can be obtained free of charge from the U.S. Bureau of the Census, Washington, D.C. 20238 or from any U.S. Department of Commerce field office.

Additional sources of information include: city and county planning commissions; area redevelopment or economic development agencies; health and welfare councils; housing and urban renewal agencies; chambers of commerce; central labor union councils and minority group organizations. In many communities studies have been prepared in connection with other Federal aid programs. Especially valuable are community planning studies prepared under the Housing and Home Finance Agency's Section 701 Urban Planning Assistance Program; the HHFA-administered Workable Program for Community Development Program; the Department of Agriculture's Rural Area Development program (RAD); HUD Community Renewal Program (CRP) studies and Economic Development studies prepared by local Economic Development Districts (OEDP).

In addition to the CAP 5, a simple outline map showing the community to be served and the location of adjacent cities, counties or states is required. Gasoline company maps or U.S. Census maps will serve in most cases. Draw the boundaries of the community on the map with a distinct solid line. Indicate any major political subdivisions within the area served by the CAA which are not part of the community action program.

Two copies of the CAP 5 and map are submitted annually to the appropriate OEO Regional Office or Office of Special Field Programs no later than 180 days before the end of the CAA's program year.

Items for which there are no instructions are considered self-explanatory.

**Item 5.2—Community Subdivisions:** CAA's are not required to subdivide the community into "target" areas with a high concentration of poverty. However, where it is anticipated that efforts will be concentrated in such areas, they should be identified on this form and information provided on the characteristics of the areas.

**Item 5.3—Incidence of Poverty:** Describe the sources used to obtain information for this item. Give the sources for the community as a whole and for sub-areas, if different sources are used (for example, when sub-area data is estimated).

**Item 5.3.1—Population:** Total population from the 1960 census is available for each state from U.S. Census Bureau Report PC(1)-A, Tables 5-12. These tables give total population for communities ranging from Standard Metropolitan Statistical Areas (SMSA's) to minor civil subdivisions. Percentage of population living in rural areas is available for counties and SMSA's. Total population only is available on a census tract basis in 180 urban areas in the PHC (1) series.

**Item 5.3.2—Family Income:** Census Report PC(1)-C is the basic source for 1959 family income. The following tables are pertinent:

(a) Table 76 provides data for SMSA's, urbanized areas, and urban areas of 10,000 or more;

(b) Table 78 provides the same information as Table 76, but for the non-white portion of the population (if the non-white population is 1,000 or more persons);

(c) Table 81 provides family income data for urban areas with populations of 2,500 to 10,000;

(d) Table 86 provides this data on a county basis;

(e) Table 91 provides family income data for the rural population of a county.

Family income data is also available on a census tract basis in 180 urban areas in Table P-1 of the PHC(1) series.

**Item 5.3.3—Unemployment:** Census Report PC(1)-C is the basic source for unemployment information from the 1960 census. The following tables are pertinent:

(a) Table 73 provides data for SMSA's, urbanized areas, and urban areas with populations of 10,000 or more;



## CAP 5 . . .

(b) Table 77 provides the same data for the non-white population of the same communities;

(c) Table 91 provides family income data for urban areas with populations of 2,500 to 10,000;

(d) Table 83 provides this data on a county basis;

(e) Table 91 provides data on the rural population within each county.

Unemployment information on a census tract basis for the 180 urban areas which have been tracted can be obtained from Table P-3 of Census Report PHC(1).

**Item 5.3.4—Welfare:** Information on the total number of persons under 21 years of age and the total number 65 years of age and over at the time of the 1960 census can be obtained from the following tables of Census Report PC(1)-B for each state:

(a) Table 20 for SMSA's, urbanized areas, and urban areas of 10,000 or more;

(b) Table 22 for persons 65 and over in urban areas of 2,500 to 10,000;

(c) Table 26 for persons 65 and over in minor civil subdivisions;

(d) Table 27 for counties.

Information on the number of persons receiving Aid to Families of Dependent Children (AFDC) or Old Age Assistance (OAA) payments should be obtained from the local Welfare Department.

Where a state has an age limit for eligibility for AFDC payments other than 21 this fact should be noted and all statistics provided on the appropriate age basis.

**Item 5.3.5—Education:** Information on levels of educational attainment as of 1960 can be derived from Census Report PC(1)-C for each state. The following tables are pertinent for determining the percentage of persons aged 14-15 and 16-17 enrolled in school:

(a) Table 73 for SMSA's, urbanized areas, and urban areas of 10,000 or more;

(b) Table 83 for counties.

The following tables are pertinent for determining the total number of persons aged 25 and over, and the percentage of such persons with less than 8 years of education:

(a) Table 73 for SMSA's urbanized areas, and urban areas of 10,000 or more;

(b) Table 81 for urban areas of 2,500 to 10,000 population;

(c) Table 83 for counties;

(d) Table 91 for the rural population within counties.

Information for the 180 tracted urban areas is found by census tracts in Table P-1 of Census Report PHC(1).

Local school boards and state education agencies are often sources of more up-to-date information on levels of educational attainment and drop-out rates.

**Item 5.3.6—Selective Service:** Information on the number of Selective Service registrants who have been examined and the number rejected by Selective Service (4F and 1Y categories) should be available from local Selective Service boards. In some instances approval of the State Selective Service Director may be necessary for release of this information.

**Item 5.3.7—Health:** State and local health departments are the best source of statistics such as the number of births and infant mortality levels.

**Item 5.3.8—Housing:** The 1960 census is the most widely available source of information about substandard housing. Substandard housing is used here to mean all units classified in census data as lacking hot water or other plumbing facilities (whether classified as structurally sound or deteriorating) or classified as dilapidated. Data is also found in:

(a) Census Report HC(3) which includes housing data by blocks for each city or urban area which had a population of 50,000 or more in 1950, and for 172 other places;

(b) Census Report PHC(1) which provides data on the 180 tracted areas.

**Item 5.3.9—Minority Groups.** Information on minority groups can be obtained from the 1960 Census as follows:

(a) Table 21 in Census Report PC(1)-B provides data for SMSA's, urbanized areas, and urban areas of 10,000 or more;

(b) Table 28 provides the same information on a county basis;

(c) Table P-1 in Census Report PHC(1) presents information by census tract for tracted communities.

**Item 5.3.10—Other Information:** The applicant should provide other pertinent information to describe the incidence of poverty in the community. Other measures of poverty are: the proportion of low-income families with children; underemployment as well as persistent unemployment; persons receiving assistance from private voluntary organizations; migrant or transient low-income families; incidence of disease or disability; adequacy of community facilities and services and the incidence of crime and juvenile delinquency.

<b>OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM</b> <b>COMMUNITY ACTION AGENCY PLANS AND PRIORITIES</b> <i>(Complete each question as directed in "Applying for a CAP Grant".)</i>		<i>Form Approved.</i> <i>Budget Bureau No. 116-R0157</i>
<b>COMMUNITY ACTION AGENCY</b>	<b>PROGRAM YEAR</b> _____  <b>END DATE:</b> _____	<b>GRANT NO.</b> _____

I. CAA PLANNING	PAGE NO.
a. What is the CAA's planning process?	
b. What other agencies in the community are responsible for planning with respect to poverty?	
c. How will the CAA strengthen community capabilities for planning?	
II. CAA PRIORITIES	
a. What are the major causes or conditions of poverty in the community served by the CAA?	
b. What programs or services, other than those of the CAA, related to poverty problems are provided in the area served by the CAA?	
c. What are the CAA's priorities for the coming program year?	
d. What are the CAA's goals for the coming program year?	
e. What are the CAA's goals for the next three years?	
III. CAA PROJECTS <i>(List pages in each project in order described.)</i>	
a. What poverty problem or problems will the project address?	
b. What alternative ways of approaching the problems have been considered?	
c. What are the specific objectives of the project?	
d. How will each program account in the project help achieve the project's objectives?	
e. What other programs, not funded by OEO/CAP, will be administered by or through the CAA as part of the project?	
f. How will the program accounts and other CAA administered programs be tied together to increase project effectiveness?	
g. How will the projects be coordinated with complementary programs operated by other agencies?	
h. How will the CAA assure maximum involvement of the poor and target area residents in planning, developing, operating and evaluating projects?	
IV. CAA AND THE COMMUNITY	
a. What are the attitudes of other community agencies toward the CAA?	
b. How will the CAA act as an "advocate of the poor" in the community?	
c. How will neighborhood residents and groups be helped to work with public agencies and private groups, firms and institutions to seek solutions to problems of common concern?	
d. How will the CAA promote greater use of new types of services and innovative approaches in attacking causes of poverty?	
e. How will the CAA influence community attitudes and behavior to stimulate an increase in and more efficient and effective use of Federal, State and local resources against poverty?	

COMMUNITY ACTION AGENCY	GRANT NO.
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**V. BOARD AND COMMITTEE APPROVAL**

The signature indicates that the specific Board or Committee has had an opportunity to review and comment on the description of the CAA Plans and Priorities and that the Board or Committee concurs with the description.

<b>Governing Board</b>	DATE	TYPED NAME AND SIGNATURE OF PRINCIPAL OFFICER  <input type="checkbox"/> <i>Indicate here by inserting an "X" that all Boards and Major Policy Advisory Committees are listed below.</i>
<b>Governing Officials</b>	DATE	TYPED NAME AND SIGNATURE OF PRINCIPAL GOVERNING OFFICIAL
<b>Administering Board</b>	DATE	TYPED NAME AND SIGNATURE OF PRINCIPAL OFFICER

**LIST ALL COUNTY AND AREA BOARDS AND ALL MAJOR POLICY ADVISORY COMMITTEES**

NAME OF UNIT	DATE	TYPED NAME AND SIGNATURE OF CHAIRMAN
NAME OF UNIT	DATE	TYPED NAME AND SIGNATURE OF CHAIRMAN
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# Instructions: CAA Plans and Priorities, CAP Form 81

In answering questions asked on the Community Action Agency Plans and Priorities, CAP Form 81, the CAA describes how it will fulfill the purposes of the community action program as defined by the Economic Opportunity Act. The CAP 81 provides the framework within which the community action agency determines its goals for the coming program year and develops and refines the operational and procedural techniques it will use to achieve its aims.

Answer all questions listed on the CAP 81 with narrative statements. Show the name of the community action agency, grant number, coming program year and question being answered on each page of the narrative. Indicate on the CAP 81 the page of the narrative on which the answer to each question begins. Answers should be concise but specific enough to give a clear understanding of the CAA's plans and strategies. "Program Year" refers to the year for which program approval is requested.

The CAA Plans and Priorities must be reviewed by 1) the Principal Representative Board; 2) all county boards; 3) all area boards; and 4) all major policy advisory committees.

Submit 3 copies of the CAP 81 and attached narrative to the appropriate Regional Office or Office of Special Field Programs, annually, no later than 180 days before the end of the CAA's program year.

If the CAA plans to request OEO funding for Comprehensive Health Services, Legal Services or Upward Bound program accounts at any time during the coming program year, send one copy of the CAP 81 and attached narrative to the Comprehensive Health, Legal Services and Upward Bound Offices, as appropriate.

## I. CAA PLANNING

### a. What is the CAA's planning process?

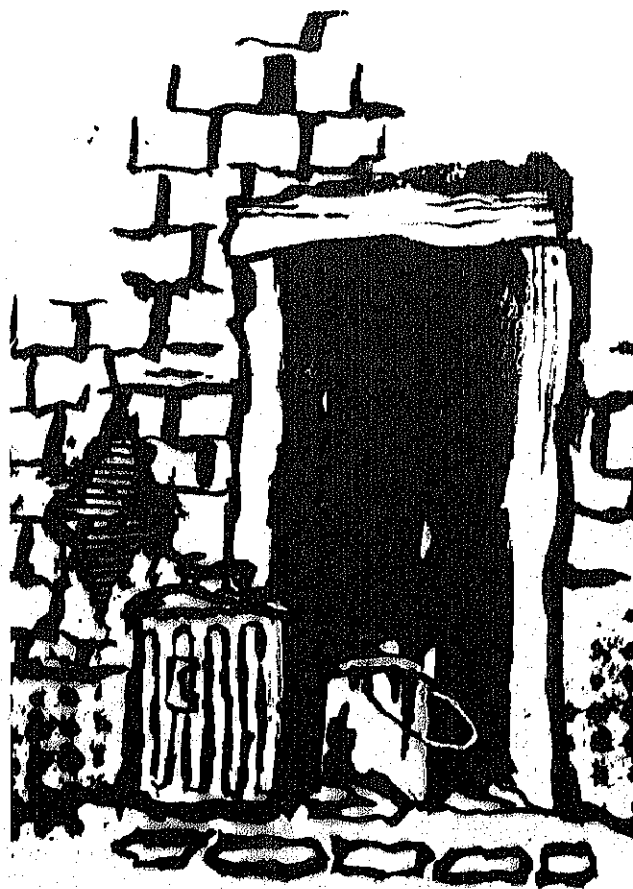
Prepare a diagram of your annual planning cycle which illustrates the participation of staff, board, target area groups, agencies and others. The diagram and attached list of activities should show when and how each group participates (e.g., conduct studies, develop alternative plans, recommend draft revisions, design individual programs). In listing activities, titles of participants, and nature of their participation, a key should be used to identify where each activity and participant appears on the chart. Show 1) key to diagram; 2) activity description and 3) key to participants.

Include a narrative statement if needed to make the meaning of the diagram clear. Attach the diagram, lists, and narrative together.

### b. What other agencies in the community are responsible for planning with respect to poverty?

List the agencies in the community with planning responsibilities related to poverty problems (e.g., Model City Agency, United Fund, Health and Welfare Council, Regional Planning Commission, City Planning Council or Department, Comprehensive Area Manpower Planning System, Technical Advisory Panel).

### c. How will the CAA strengthen community capabilities for planning?



## CAP 81 . . .

Discuss the CAA's planning function as related to those of the agencies listed in answer to question I.b. Describe how the CAA and these agencies will work together to strengthen and coordinate the community's planning capabilities. Discuss problems which might prevent a coordinated planning approach.

### II. CAA PRIORITIES

#### a. What are the major causes or conditions of poverty in the community served by the CAA?

Analyze the major causes or conditions of poverty as indicated by demographic and other data shown on the Community Information, CAP 5; recent surveys or studies prepared by local public or private community agencies; expressed needs of the poor and target area residents and other sources. Causes and conditions may also include community or agency attitudes toward poverty and its problems. Give sources and dates of reference material used to answer this question.



#### b. What programs or services, other than those of the CAA, related to poverty problems are provided in the area served by the CAA?

List the programs or services related to the community's poverty problems that are operated by Federal, state and local public and private agencies in the area served by the CAA. Describe briefly each program including target area and number served by the programs.

#### c. What are the CAA's priorities for the coming program year?

On the basis of the information provided in answer to question II.a., describe which causes or conditions of poverty you will concentrate on in the coming program year. Explain why you have selected these over others, taking into account existing community resources and programs and the mission of the community action program, target group preferences and CAA staff capability and financial resources.

#### d. What are the CAA's goals for the coming program year?

Describe the specific results you plan to have realized at the end of the coming program year. Results should reflect a realistic estimate of possible achievements and, where possible, should be stated in measurable terms. Where results are difficult to quantify (e.g., create institutional change) they should be explained clearly.

#### e. What are the CAA's goals for the next three years?

"Next three years" refers to the two program years following the requested program year. Describe the problems the CAA will concentrate on and expected results in terms of alleviating poverty or changing attitudes. Identify new program accounts for which funding might be required.

### III. CAA PROJECTS:

All questions in this section must be answered for each project to be sponsored by the CAA in the coming program year, regardless of whether funds for each project will be requested at the time of refunding or later. Give the project title and answer each question as it applies to that project. Then do the same for every other project.

#### a. What poverty problem or problems will the project address?

Describe the specific causes or conditions of poverty identified in question II.c. you plan to deal with in this project. Discuss these causes or conditions as they relate to the age group,

## CAP 81 . . .

ethnic group, geographic area or particular problem the project is addressing.

**b. What alternative ways of approaching the problems have been considered?**

Describe the alternative methods considered to alleviate the poverty problem or problems cited in answer to Question III.a. Discuss the reasons for the approach you have chosen, including program content and mix.

**c. What are the specific objectives of the project?**

**d. How will each program account in the project help achieve the project's objectives?**

(1) List the program accounts in priority order, estimate that portion of the Federal cost of each which is part of the project, and explain the reasons for the assigned ranking.

(2) Include all program accounts for which OEO/CAP funds will be requested in the coming program year, regardless of whether they will be included in one or more funding requests. (3) Estimate the length of time required to achieve each objective. (4) Identify the specific objective or objectives of the project to which each program account relates and describe how the program account will help achieve these objectives.

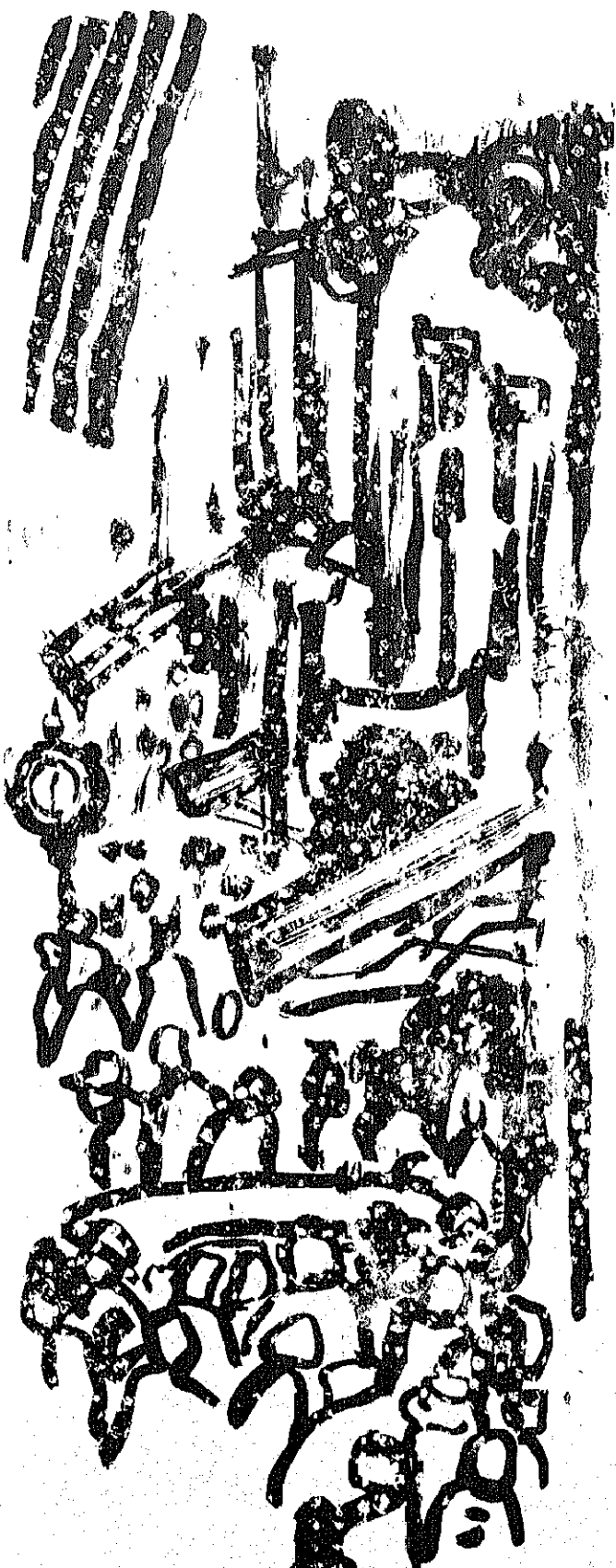
**e. What other programs, not funded by OEO/CAP, will be administered by or through the CAA as part of the project?**

List programs administered by or through the CAA but funded by other Federal, state, local or private agencies which are part of the project. All non-OEO/CAP funded CAA programs (e.g., NYC, VISTA, Job Corps recruitment and follow-up, CEP, Model Cities, Operations Mainstream, foundation grants) should be part of one or more of the projects sponsored by the CAA. Identify sources of funding and amount of grant or contract.

**f. How will the program accounts and other CAA administered programs be tied together to increase project effectiveness?**

Describe the administrative structure of the project. If the project has more than one program account or non-OEO/CAP CAA administered program, explain the methods by which the program accounts and programs will be related. Discuss outreach, intake, referral and follow-up techniques between the programs.

**g. How will the project be coordinated with complementary programs operated by other agencies?**



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Discuss the relationship between the programs and services cited in answer to question II.b. and the project to be operated in the coming program year.

Describe the specific ways by which the CAA and those agencies operating complementary programs will coordinate operations for program development, evaluation, budgets and training and technical assistance needs. Give examples of coordination which has been effective and discuss how they will be continued.

**h. How will the CAA assure maximum involvement of the poor and target area residents in planning, developing, operating and evaluating projects?**

Describe the ways by which the CAA will ensure participation by the poor and target area residents in each of the following program activities: planning; development; implementation; and evaluation. Discuss measures to be taken to increase effectiveness of resident participation, including delegation of specific programs or program responsibilities to neighborhood based organizations.

### IV. CAA AND THE COMMUNITY

**a. What are the attitudes of other community agencies toward the CAA?**

Describe the reactions of other community agencies to the CAA's goals, operations, and programs. Give concrete examples.

**b. How will the CAA act as an "advocate of the poor" in the community?**

Describe how the CAA will actively support the views of the poor and target area residents and ensure that they are made known to and considered by community public and private agencies. Discuss specifically the role and use of Board members representing public and private agencies and interests in communicating and supporting the views of the poor.

**c. How will neighborhood residents and groups be helped to work with public agencies and private groups, firms and institutions to seek solutions to problems of common concern?**

Describe the assistance, guidance and support the CAA will provide to help neighborhood groups become 1) the spokesmen for the interests of the poor in their areas and 2) progressively less dependent on the CAA and more able to deal effectively with public and private agencies and officials with respect to

the allocation and use of resources to meet the needs of area residents. (Examples might include: funds for neighborhood groups to hire advocate planners and other staff, training and technical assistance, provision of information about agencies, programs and resources potentially available to help meet neighborhood needs.)

**d. How will the CAA promote greater use of new types of services and innovative approaches in attacking causes of poverty?**

Describe how the CAA will attempt to identify new ways of dealing with poverty problems and new kinds of programs or services. Discuss the steps the CAA will take to have these approaches or services tested by the CAA and other community agencies.

**e. How will the CAA influence community attitudes and behavior in order to stimulate an increase in and more effective use of Federal, state and local resources against poverty?**

Answer the question in terms of: (1) the proportion of community resources allocated to the problems and needs of the poor; (2) the removal of barriers preventing the poor from obtaining adequate jobs or job training, education, health, housing and other services; (3) availability of services (i.e., location, hours); and (4) outreach. Describe specific steps the CAA will take to join with and encourage business, labor and other private or public groups, agencies and officials to allocate additional Federal, state and local resources or to use more effectively existing resources for the elimination of poverty.

### V. BOARD AND COMMITTEE APPROVAL:

If the community action agency is a designated CAA, do not complete the Governing Official and Administering Board concurrence lines. If the CAA is a political jurisdiction, concurrence of both the Principal Governing Official and the Principal Officer of the Administering Board must be indicated. The chairman of each county board, each area board, and each major policy advisory committee must sign to indicate board or committee concurrence.

Attach additional pages as needed.

If any of the boards or committees do not concur with the CAA Plans and Priorities, leave the line blank and attach a short statement, prepared and signed by the Board or Committee chairman, giving reasons for non-concurrence.

The principal officer of the Governing Board must indicate below his signature that all Boards and Major Policy Advisory Committees are listed.







## IV. FUNDING REQUEST

The funding request is the last of the three segments of the grant application process. It confirms and summarizes in final form the program and budget decisions made as a result of the CAA's planning and program development efforts and its deliberations with the field representative during field prereview. This request is prepared by the CAA and delegate agency staffs; reviewed by the administering board (if the CAA is a political jurisdiction), county and area boards, policy advisory committees, and other target area groups; and approved by the governing board or governing officials, as appropriate, during an approximately 45-day period subsequent to the field prereview.

The work program descriptions constitute the heart of the funding request. All other forms in the funding request are supporting documents which translate the work programs into budget and participant data.

The funding request is prepared with the active technical assistance of the OEO field representative during and after the field prereview as required.

Perhaps most important, the funding request (together with the CAA Plans and Priorities, CAP Form 81, submitted prior to the prereview) provides a conceptual framework which carries the CAA through the steps necessary for the planning, programming, and evaluation of its community action program. The questions asked in the work programs and other forms provide the CAA with a guide to those program and budget elements required for compliance with policies laid down in the Economic Opportunity Act of 1964, as amended. The funding request also provides OEO

with information upon which it bases its funding decisions.

A separate funding request should be prepared for each grant number. If, for example, the CAA has received OEO funds under four different grant numbers, it should complete four separate funding requests. Funding requests should be submitted to the appropriate OEO Regional or Headquarters Office no later than 60 days prior to the end of the program year. Except in unusual circumstances (e.g. supplemental appropriations for summer programs which cannot be anticipated when the funding request is prepared), the funding request should include all program accounts to be operated by the CAA during the program year for which funds are requested, regardless of whether or not all program accounts will begin operations at the beginning of the program year.

Each funding request must include one each of the following forms:

- Summary of Application, CAP Form 1
- Unexpended Federal Funds Report, CAP Form 28, (to report estimated balances with refunding request only)
- Maintenance of Effort Certification, CAP Form 82
- Program Account Work Program, CAP Form 7, (one for each program account for which funding is requested)
- Checkpoint Procedure, CAP Form 46
- Coordination with SEOO, CAP Form 77
- Program Account Budget, CAP Form 25, (one for each program account for which funding is requested)
- Program Account Budget Support Sheet,

## Funding . . .

CAP Form 25a, (one for each program account for which funding is requested)

Participants/Expenditures Plan, CAP Form 88

Participant Characteristics Plan, CAP Form 84

Administering Agency Funding Estimate, CAP Form 85

If the funding request includes the CAA Administration or CAA Evaluation program account (01 and 04), Central Administration Work Program, CAP Form 7d, should be completed **instead** of the CAP 7 for that program account.

Instructions for completing these forms will be found following the forms in this section.

Five copies of each funding request are required for all program accounts **except** Comprehensive Health Services, Legal Services and Upward Bound program accounts. **Four** copies are submitted to the appropriate OEO Regional Office or, in the case of Indian, Migrant and Territories programs, to the Office of Special Field Programs. **One** copy of all funding requests is submitted to the State Governor's Office at the same time the funding request is submitted to OEO.\* If the funding request includes Head Start program accounts, refer to the current Head Start Manual for policies and program standards.

**Twenty-two (22)** copies of each funding request are required for **Comprehensive Health Services** program accounts. **One** copy is sent to the appropriate OEO Regional Office or Office of Special Field Programs. **One** copy is sent to the State Governor's Office. The remaining **twenty (20)** copies are sent to the Director, Health Services Office, which will distribute copies for review and comment to local medical associations, local health departments and the Department of Health, Education, and Welfare.

The funding request for Comprehensive Health Services program accounts consists of the same forms required for other program accounts and one additional form, the Comprehensive Health Services Supplementary Work Program, CAP Form 7a, which is completed **in addition to** the CAP 7. All forms are completed by the agency

responsible for administering the program and a separate funding request is required for each applicant agency. However, if the CAA is the applicant the executive director and the administering board (if any) of the CAA shall review, and the governing board or governing officials shall approve, the Comprehensive Health funding requests. In addition, the CAA may add any comments and recommendations it believes appropriate to the CAP 7 and CAP 7a work programs. See supplementary instructions for CAP Form 7a, 25 and 25a.

Legal Services program accounts should be included, except in unusual circumstances, in the same funding request as the CAA's other program accounts. In such cases, the CAA should submit to the appropriate OEO Regional Office or Office of Special Field Programs **four** copies of the entire funding request and **one additional** copy of those forms in the funding request which include data on the Legal Services program accounts. **One** copy of the entire funding request should be sent to the State Governor's Office.

In those few instances where the Legal Services program accounts are in a separate funding request, **six** copies are required: **five** are sent to the appropriate OEO office and **one** is sent to the State Governor's Office.

The funding request for Legal Services program accounts consists of the same forms required for other program accounts and one additional form, the Legal Services Supplementary Work Program, CAP Form 7b, which is completed **in addition to** the CAP 7. See supplementary instructions for completing the CAP 7 and 7b for Legal Services program accounts.

**Ten** copies of each funding request are required for **Upward Bound** program accounts. **One** copy is submitted to the appropriate OEO Regional Office or Office of Special Field Programs and **one** copy is sent to the State Governor's Office. **Eight** copies are sent to Upward Bound.

The funding request for Upward Bound consists of the same forms required for other program accounts and one additional form, the Upward Bound Supplementary Work Program, CAP Form 7c, which is completed **in addition to** the CAP 7. See supplementary instructions for completing the CAP 7 and 7c for Upward Bound program accounts.

\*If the State Economic Opportunity Office is not part of the State Governor's Office, an additional copy of all funding requests must be sent to the State Economic Opportunity Office.



# Instructions: Summary of Application, CAP Form 1

The Summary of Application, CAP Form 1, serves as a cover sheet for the funding request, summarizes the program account budgets for which funds are requested, and includes a certification by the appropriate official that the funding request has been approved by the applicant's governing board or governing officials and (where appropriate) has been reviewed by the applicant's administering board. One CAP 1 must be included in every funding request.

The following instructions are related to specific items on the form. If no instruction is included, the item is considered self-explanatory.

## SECTION I. Applicant Information

**Item 3.** If the applicant has not previously been funded by OEO on a program year basis insert an "A" after "Program Year" but leave the space after "End Date:" blank. All other applicants should insert the appropriate program year letter and end date. These should always be for the program year for which funding is requested, not necessarily the program year in which funding is requested.

**Item 4.** If this is the applicant's initial funding request and a grant number has not yet been assigned, leave blank.

## SECTION II. Program Account Summary

This part has been designed to permit inclusion without change of budget information shown on each Program Account Budget, CAP Form 25, included in the funding request.

**Columns (1), (2).** List the various program accounts for which funding is requested. The number and name for each program account should be the same as indicated in Items 5.a and 5.b on the corresponding CAP 25. In addition, list those program accounts for which funding is not now requested, but which were approved for the current program year. Finally, list those program accounts for which funding is not now or was not previously requested for the requested program year but which the applicant would like to administer in an expanded program in either of the two program years following the requested program year.

**Columns (3), (4).** The program year letter designation to be inserted in the blank space above these columns should be for the program year preceding the program year for which funding is requested. If the program year designation in Item 3 above is "C", then the designation in Columns (3), (4) should be "B". If this is the applicant's initial funding request and the program year designation in Item 3 is "A", then enter nothing in the blank space above Columns (3), (4).

**Columns (3)-(14).** These columns correspond exactly to Columns (3)-(14) on the CAP 25. Insert for each program account the figures appearing on the third from last line, TOTAL COSTS, of the corresponding CAP 25. For any new program account not funded to the CAA in the approved program year, leave Columns, (3), (4) blank. For any program accounts for which funding is not now requested but which would be included in an expanded program in either of the two program years following the requested program year enter estimated expanded budget figures in Columns (11)-(14), as appropriate, but leave Columns (3)-(10) blank.

**Totals From Attached Pages.** Include here the combined totals from the bottom of any continuation pages. If there is no continuation page, leave this line blank.

**TOTALS.** Total the figures in Columns (3), (5)-(7), (9), (11) and (13). Columns (4), (8), (10), (12) and (14) are not addable. Use this line as a page total on any continuation page and as a grand total on the initial page.

## SECTION III. Certification

**Item 11.** If the applicant agency is a designated public or private non-profit agency, check box "a". If the applicant agency is a political jurisdiction, check box "b".

**Items 12 and 13.** If the applicant agency is a designated public or private non-profit agency, the name and signature of the principal officer of its governing board should be entered. If the applicant is a political jurisdiction, the name and signature of its principal governing official should be entered.

## OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM

# UNEXPENDED FEDERAL FUNDS REPORT

1. NAME OF GRANTEE	2. ADDRESS	3. CITY	4. STATE	5. ZIP	6. PHONE	7. FAX	8. E-MAIL	9. COMMENTS
1. NAME OF GRANTEE	2. ADDRESS	3. CITY	4. STATE	5. ZIP	6. PHONE	7. FAX	8. E-MAIL	9. COMMENTS

[illegible]

# Instructions: Unexpended Federal Funds, CAP Form 28

The Unexpended Federal Funds Report, CAP Form 28, is used by **present grantees** for two purposes: (1) to estimate, prior to the end of the program year, **anticipated** unexpended Federal funds for the program year by approved program account; and (2) to report, after the end of the program year, **actual** unexpended Federal funds for that program year by approved program account. The CAP 28 is not required from applicant agencies not previously funded for a program year under the specific number or its predecessor grant numbers. In the event of mergers, special instructions will be issued.

The CAP 28 is submitted twice annually for each grant **number** under which funds are approved **on a program year basis**. If, for example, a grantee has been awarded a research grant under a separate grant number, with a definite **termination date** a CAP 28 is not submitted for that grant.

The CAP 28 is submitted initially, as part of the grantee's **refunding request**, to estimate anticipated unexpended Federal funds. It is not submitted with any other funding request for that grant number nor with any amendment request. The CAP 28 is submitted a second time, as a final

report of actual unexpended funds, 90 days after the end of the program year together with the grantee's **final** Grantee Monthly Financial Report, CAP Form 15, in accordance with OEO instructions for the CAP 15. The final CAP 28 is not submitted as part of any funding or amendment request.

Each time the CAP 28 is submitted OEO will enter on it additional data to indicate the assignment of the Federal funds carried over or any adjustment that may be necessary. The form when so completed will become an attachment to a refunding or subsequent grant action, as appropriate, and will be returned to the grantee with the grant package.

The following instructions, for the two submissions of the CAP 28, relate to specific items on the form. If no instruction is included, the item is considered self-explanatory.

## I. Completion of initial CAP 28 to indicate anticipated unexpended Federal funds

**Item 2.** Enter the appropriate program year letter and end date. These should always be for the current or approved program year, **not** for the program year for which refunding is requested (as on all other forms in the funding request).

**Item 3.** Enter only the basic grant number (e.g. "5000"). No sequential grant **action** numbers (e.g. "/2") should be shown since the report must cover all actions for the specified program year.

**Column (1).** List in numerical order the numbers of all program accounts for which OEO Federal funds (both carry-over and new funds) were approved for the program year listed in Item 2. If, for example, an approved program account consisted entirely of non-Federal share, do not include it. All program accounts with Federal share must be listed whether or not any unexpended funds are anticipated. If the grantee's programs were approved as "components" rather than as program accounts, enter a dash (—) in this column.

Use as many sheets of the CAP 28 as are necessary to list all program accounts.

**Column (2).** List the name of each program account numbered in Column (1). If there is a dash in Column (1), list the former component name and component number.

**Column (3).** Indicate the total amount of OEO/CAP funds approved for each program account or component for the program year to date. The amount approved for each program account ap-



## CAP 28 . . .

proved on the new CAP 14 (dated August 1968) should be taken from Column (3), "Total Federal Share (TOA)", of the CAP 14 on which the program account was listed (if it had not been subsequently amended) or from Column (3) of the last CAP 14a on which the program account was listed (if it had been subsequently amended). The amount for each program account or component approved on the old CAP 14 (dated March 1966) and old CAP 25 (dated February 1966) should be taken from the "Federal Share" line under Column D or E, "Approved by OEO This Action" or "Total Approved by OEO" on the last CAP 25, or, if an amendment were later approved, under Column F, "Approved Amended Budget," on the old CAP 43.

**Column (4).** This column is for OEO use.

**Column (5).** Enter on the line above the column the end date of the last month for which actual expenditures are available. This will normally be the end of the ninth month of the program year. Enter in this column the actual Federal expenditures for each program account or component through the date indicated above. These figures should always agree with the Federal expenditures reported on the CAP Form 15a for the same month.

**Column (6).** The figure required here for each program account or component is a total of the actual expenditures in Column (5) and a careful estimate of the Federal expenditures to be made for the remaining months of the program year. The grantee is cautioned to compute the best possible estimate since an over-estimate of Federal expenditures will usually result in a loss of funds to the community action program, while an under-estimate will mean that the grantee will have insufficient funds to run its program until OEO takes further action following receipt of the final CAP 28.

**Column (7).** For each program account or component insert the difference obtained by subtracting the figure in Column (6) from the figure in Column (3). In no case should this figure be a negative number, but it may be zero.

**Columns (8)-(12).** Leave these columns blank. They are for OEO use or for later use by the grantee to report actual unexpended funds on the final CAP 28.

**Totals Carried Forward From Attached Pages.** If more than one page was required, leave this line blank on each continuation page and enter on the initial page the combined totals from all continuation pages for Columns (3), (5), (6), and (7), respectively.





## CAP 28 . . .

**TOTALS.** Use this line as page total on each continuation page and as a grand total on the initial page for Columns (3), (5), (6), and (7), respectively. The figure in Column (5) on the initial page should equal the total Federal share approved for the program year, as shown on the last CAP 14 grant action for the approved program year that the grantee has received at the time the initial CAP 28 is prepared. If the last CAP 14 received is the old CAP Form 14 (dated March 1966) the appropriate figure is found on line 10, "Federal Share," under the column entitled "Total Approved for this Funding Period." If the last CAP 14 received is the new CAP Form 14, the appropriate figure is the "Total Approved to Date For This Program Year" under Column (3), "Total Federal Share (TOA)".

**Item 4.** Indicate the name and title of the official who submits and signs the CAP 28. This should be either the principal governing official or the principal officer of the governing board, or another official, e.g. the executive director, to whom such authority has been delegated.

**Item 5.** The official indicated in Item 4 should sign the form in the space provided.

**Item 6.** Enter the date the signature is affixed.

### II. Completion of final CAP 28 to indicate actual unexpended Federal funds

A final CAP 28 is required for each program year whether or not the initial CAP 28 indicated that there would be unexpended Federal funds at the end of the program year, and whether or not there were any unexpended Federal funds.

For the submission of the final CAP 28, duplicate the form originally submitted and returned by OEO with Column (8) completed. Add any program accounts approved for the reported program year since the initial CAP 28 was submitted, and make changes, as appropriate, in Column (3) to reflect all grant actions for that program year made subsequent to the submission of the initial CAP 28.

**Columns (1)-(3).** If any additional program accounts were approved for the program year by grant actions made after the initial CAP 28 was submitted, the numbers of the additional accounts should be listed at the bottom of Column (1), the additional details inserted for Column (2), and

Column (3) corrected. If the amounts indicated in Column (3) for any of the previously listed program accounts were changed by an OEO approved transfer of Federal funds and/or by the approval of additional Federal funds, correct the figure originally in this column.

**Do not** include any program accounts or Federal funds approved in the new program year.

**Columns (5)-(7).** Do not make any changes in the figures originally entered in these columns, and do not enter any additional data even for program accounts added since the initial CAP 28 was submitted, since these columns are not considered in the final CAP 28.

**Column (9).** Enter the total actual unexpended Federal funds balance as indicated in the accounting records for each program account or component. For any program account or component the sum of the figures in Column (9) on the CAP 28 and Column (I) on the CAP Form 15a attached to the final CAP Form 15 should equal the amount shown in Column (3) of the CAP 28. The figure in Column (9) should never be a negative figure.

**Columns (10)-(12).** Leave these columns blank. They are for OEO use.

**TOTALS.** Correct the totals for Column (3), as appropriate, and enter the totals for Column (9). The totals for Column (3) should equal the total Federal share approved for the program year, as shown on the final CAP 14 for the program year reported on the CAP 28. If the final CAP 14 was the old CAP 14 (dated March 1966) the appropriate figure is found on line 10, "Federal Share," under the column entitled "Total Approved for This Funding Period." If the final CAP 14 was the new CAP 14 the appropriate figure is the "Total Approved to Date for This Program Year" under Column (3), "Total Federal Share (TOA)".

**Item 7.** Indicate the name and title of the official who submits and signs the final CAP 28. This should be the principal governing official or the principal officer of the governing board, or another official, e.g. the executive director, to whom such authority has been delegated.

**Item 8.** The official indicated in Item 7 should sign the final CAP 28 in the space provided.

**Item 9.** Enter the date the signature in Item 8 is affixed.

OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM  
MAINTENANCE OF EFFORT CERTIFICATION

COMMUNITY ACTION AGENCY

GRANT NO.

PROGRAM YEAR

Funds or other resources devoted to programs or activities designed to meet the needs of the poor within the community will not be diminished in order to provide non-Federal share contributions for the Community Action Program.

With respect to each program account in this funding request:

- (1) The amounts claimed as non-Federal share represent a net increase over expenditures from non-Federal sources made for similar activities during the twelve months prior to initial application to OEO for the program account.
- (2) The program account services will be in addition to, not in substitution for, services previously provided without Economic Opportunity Act assistance.

TYPED NAME OF EXECUTIVE DIRECTOR, CAA	SIGNATURE	DATE
TYPED NAME OF PRINCIPAL GOVERNING OFFICIAL OR PRINCIPAL OFFICER OF GOVERNING BOARD	SIGNATURE	DATE

## Instructions: Maintenance of Effort Certification, CAP Form 82

The Maintenance of Effort Certification, CAP Form 82, is submitted as part of every funding request.

After Program Year, insert the letter of the program year for which funds are requested.

The CAP 82 is signed by both the Executive Director of the CAA and the Principal Governing Official or Principal Officer of the Governing Board.

OFFICE OF ECONOMIC OPPORTUNITY - APPLICATION FOR COMMUNITY ACTION PROGRAM <b>PROGRAM ACCOUNT WORK PROGRAM</b>		Form Approved. Budget Bureau No. 116-R0157
COMMUNITY ACTION AGENCY		GRANT NO.
PROGRAM ACCOUNT TITLE		PROGRAM ACCOUNT NO.
PROJECT TITLE(S)		PROGRAM YEAR _____ END DATE: _____
<b>I. PURPOSE:</b>		<b>PAGE NO.</b>
a. What problems will you deal with in the program account?		
b. What are the objectives of the program account and what benefits should result from its operation?		
c. Why do you believe these results can be achieved?		
<b>II. PARTICIPANTS</b>		
a. How many people are potentially eligible to take part in the program account?		
b. What percentage of those eligible will participate?		
c. How will the poor and target area residents learn about and be recruited for the program?		
d. What are the selection criteria?		
<b>III. PROGRAM</b>		
a. What activities will be carried out in the work program?		
b. What major steps will be taken to carry out the work program?		
c. What are the strengths and weaknesses of your current program?		
d. What changes are you proposing in this work program as compared with your current program?		
e. How will participants in one activity be referred to other activities or programs?		
f. What follow-up activities will assist participants upon completion of the program?		
g. How will other members of the participant's family be involved in the program account or other programs?		
h. What facilities are needed for the operation of the program and where are they located?		
i. What transportation is required and how will it be provided?		
j. What new equipment is needed?		
k. What problems do you foresee in carrying out the program?		
l. How would you change the program under an expanded or reduced budget?		
<b>IV. RESIDENT PARTICIPATION</b>		
a. What are the functions and responsibilities of policy advisory groups set up for the program?		
b. How are members of policy advisory groups selected?		
c. What ideas of the poor and target area residents have been included in the work program?		

PROGRAM ACCOUNT TITLE		GRANT NO.
IV. RESIDENT PARTICIPATION <i>(Continued)</i>		PAGE NO.
d. How will the poor and target area residents influence the program while it is being carried out?		
e. What assistance will target area groups and neighborhood based organizations have to help them express their needs and interests related to the program and to administer programs directly?		
V. ADMINISTRATION		
a. If all or portions of the program account are delegated, why did you decide to delegate?		
b. How will you advertise for, recruit and select staff?		
c. What functions once performed by professionals will be assigned to nonprofessional employees as a result of reassessment of professional job requirements?		
d. How will nonprofessional employees be helped to advance to higher level positions within the program?		
e. How will nonprofessional employees be helped to gain employment with agencies other than the CAA?		
f. What volunteer services are required in the program?		
g. How will volunteers be recruited?		
h. What consultant or technical assistance will be needed?		
i. What staff training will be provided?		
VI. COORDINATION		
a. Checkpoint procedures have been followed and forms are: <input type="checkbox"/> ATTACHED <input type="checkbox"/> NOT ATTACHED <i>(If not explain)</i>		
b. What other agencies in the community are dealing with problems related to the program account?		
c. What arrangements do you have with these agencies to coordinate their programs with the activities of the program account?		
d. How have you encouraged other agencies to provide or help finance activities of the program account?		
e. What changes in approaches to poverty problems do you foresee as a result of the operation of the program account?		
VII. EVALUATION		
a. How will the effectiveness of the program be evaluated?		
b. How will recommendations for improvement be put into effect?		
VIII. ADDITIONAL COMMENTS		
a. Provide other information you consider important in describing the purpose and operation of the program account.		

# Instructions: Program Account Work Program, CAP Form 7

The program account work program describes the objectives and planned activities of the program account. It outlines the strategy for dealing with poverty problems and the means by which the CAA, together with other community agencies, will work to alleviate these problems. The work program should afford a sound basis for OEO review prior to funding and act as a guide to the CAA and delegate agencies in carrying out the program after funding.

A separate narrative and Program Account Work Program, CAP Form 7, must be completed for each program account for which OEO/CAP funding is requested, except for program accounts 01, CAA Administration and 87, Migrant Program Administration. The Central Administration Work Program, CAP Form 7d, is submitted for these program accounts.

If OEO/CAP funding is also requested for CAA Evaluation, Program Account 04, add a narrative description of the activities to be carried out under CAA Evaluation. The description should include a discussion of how evaluation functions will be organized and standards developed, who will be responsible for performing the evaluation (CAA staff, consultants, contractors) and how recommendations resulting from the evaluation will be put into effect.

Supplementary work programs are also required for Comprehensive Health Services, Legal Services, and Upward Bound program accounts. For these programs, CAP Forms 7a, 7b or 7c are submitted as appropriate. Supplementary instructions for these program accounts included with these directions are in addition to the regular instructions for completing the CAP 7.

Answer all questions listed on the CAP 7. Each question should be answered by a concise narrative statement which is brief but specific enough to give a clear understanding of the work to be performed. Show the name of the community action agency, grant number, program account title and question being answered on each page of the attachment.

Indicate on the CAP 7 the page of the narrative on which the answer to each question begins. Show the name and number of the program account and name of the project or projects of which the program account is a part on the first page of the CAP 7. "Program Year" refers to the year for which program approval is requested.

## I. PURPOSE:

### a. What problems will you deal with in the program account?

State the specific problems the program account addresses and describe how they are related to the causes of poverty for the group to be served.

For example, the problem might be a low level of education which prevents people aged 25 to 40 from getting jobs. By providing adult education classes leading to the General Educational Development Examination and a high school equivalency diploma, people in this category may be helped to overcome a barrier to employment.

### b. What are the objectives of the program account and what benefits should result from its operation?

List each objective of the program account and describe the specific anticipated benefits to the poor and community at large. Objectives should reflect a realistic estimate of possible achievement and, as far as possible, be stated in measurable terms. If objectives and benefits are difficult to quantify, they should be described clearly.

Examples of objectives are: (1) to place 3,000 hard core minority males in non-poverty level employment; (2) to help target area groups composed of the disadvantaged focus on solutions to problems identified by the groups; and (3) to induce changes in approaches to poverty problems and methods of operating poverty programs in local agencies. Expected benefits might be: (1) 3,000 public charges will become wage earners and tax payers; and (2) poor people will learn to identify problems and solutions, represent their interests and become participating members of society.

### c. Why do you believe these results can be achieved?

Describe how past experience with similar programs operated by the CAA or other agencies, evaluation of your present program, results of professional studies, recommendations of target area groups, etc., as appropriate, have influenced your conclusions. If the program is designed to be experimental, indicate.

For example, of those who participated last year in the Upward Bound program, 80% who

## CAP 7 . . .

had not planned to go to college are now in college, ten high school dropouts returned to high school and student attitudes toward school improved as evidenced by the fact that 50% are now engaged in extra-curricular activities for the first time.

### II. PARTICIPANTS

#### a. How many people are potentially eligible to take part in the program account?

State the number and percentage of the poor who would benefit from the program account. If the percentage is small, explain why you have given the program account priority for CAP funding.

You might find, for example, that only 1,000 poor people or 15% of the poor are potential participants in a Family Planning program. The program may have high priority, however, because target area residents initiated the proposal.

#### b. What percentage of those eligible will participate?

Based on your answer to II a., give the percentage of potentially eligible participants which the program will serve.

The program account might serve 30% of those eligible.

Note: Legal Services guidelines indicate that for 10,000 eligible participants, 500 will seek assistance.

#### c. How will the poor and target area residents learn about and be recruited for the program?

Describe how target residents will be informed of the nature and purpose of the program. State how and by whom outreach and recruitment services will be provided.

As an example, neighborhood aides might explain the program at group meetings attended by residents, to church and school officials and distribute leaflets to houses, shops, schools and churches in the target area. Community organizers and volunteers might conduct a door to door recruitment campaign and contact people suggested by community agencies.

#### d. What are the selection criteria?

Aside from OEO income standards, state the considerations which will determine eligibility to participate in the program. Indicate which will be given most weight in choosing participants should more apply than can be served.

Examples of criteria might include: less

than a ninth grade functional education, parents of children enrolled in a Head Start program, and residents of a public housing project in that order of priority.

Note: **Comprehensive Health Services** supplementary instructions: Describe how the policies for determining eligibility and criteria for eligibility as set forth in Appendix C of the Program Guidelines are met.

Note: **Legal Services** program sets its own eligibility standards at the local level. Answer this question in conjunction with Question II.e. on the Legal Services Supplementary Work Program.

### III. PROGRAM:

#### a. What activities will be carried out in the work program?

Describe how you plan to achieve the objectives of the program account. List its major activities and estimate the percentage of program account costs that will be applied to each activity. Indicate how each activity will be provided. Include CAP funded programs and programs not funded by CAP but administered by the CAA to show a comprehensive program design. Describe or diagram the relationship between each activity and, where appropriate, track a participant through the program.

In the case of a Manpower Program Intake, Assessment and Program Placement program account, for example, you might discuss:

(1) outreach and intake funded by CAP and performed by neighborhood center aides;

(2) assessment and counseling, funded by CAP and the Bureau of Work Training Programs and performed by manpower aides and Employment Service Counselors; and

(3) referral to prevocational or vocational programs such as the Neighborhood Youth Corps administered by the CAA, Job Corps for which the CAA recruits and provides follow-up and an MDTA or OJT program financed by HEW and performed by the Urban League.

Note: **Head Start** supplementary instructions: Describe your proposed program in each of the following areas: Daily Activities; Health Services; Nutrition and Social Services.

Note: Answers for **Legal Services** programs may be elaborated more fully in the supplementary work program.



## CAP 7 . . .

Note: Upward Bound supplementary instructions: Include the following information:

(1) for both the summer and academic portions of the program, give the number of students in each; the course plan, both academic and non-academic; the number of weeks each will operate; and a proposed schedule of classes;

(2) if the program will enroll high school graduates (bridge students), describe any aspect of the program for them which may differ from that offered to other students;

(3) if summer plans call for students working and being in the Upward Bound program, estimate the number of persons, hours per week, types and places of employment and the expected source of funds;

(4) explain the ways in which the academic year portion of the program will operate in conjunction with the secondary schools attended by the students;

(5) describe how the Program Director and staff will counsel the students on use of time between the summer phase and the opening of school and the Upward Bound staff's relationship to the school after school opens.

### b. What major steps will be taken to carry out the work program?

List and provide a timetable with beginning and end dates for each major step of the work program. Major steps may be key management decisions or events that are essential to the successful operation of the program.

An example of the first few steps might be:

	Start	End
1. Recruit and Hire Staff Director..	1-01-69	2-01-69
2. Recruit and Hire Staff.....	2-01-69	2-28-69
3. Inform Residents of Program.....	2-15-69	12-30-69
4. Participant Intake.....	3-01-69	12-30-69
5. Formal Staff Orientation.....	3-01-69	3-08-69

### c. What are the strengths and weaknesses of your current program?

Describe the strengths and weaknesses of the program you are now operating. If the current program is not reaching its approved program level, indicate the reasons why; specify whether it is not feasible to mount a program of this size or whether administrative or budgeting procedures are the problem. If this is a new program account, the question is not applicable.



## CAP 7 . . .

For example, your outreach system may have successfully recruited people for the program, but the drop-out rate may have been high after the first two months of program operation. The high drop-out rate is attributed to difficulty in reaching the site where the program is held.

**d. What changes are you proposing in this work program as compared with your current program?**

Discuss changes and improvements planned in the proposed program to overcome problems in your current program as noted in answer to question III c. or to try new approaches or procedures. If the current approved program level is not being reached, state what changes in operating procedures will be made to assure that the requested program level will be achieved. If this is a new program account, the question is not applicable.

**Note: Comprehensive Health Services** supplementary instructions: Identify specific services (e.g. dental and mental health services) for which changes are planned.

For example, if attendance at adult education classes is low but target area residents want adult education, you may hold classes at a more convenient time or location, provide babysitting services, or use different outreach techniques and train aides in recruiting methods.

**e. How will participants in one activity be referred to other activities or programs?**

The purpose of this question is to bring out ways by which activities within the program account will be coordinated and participants assisted to engage in all activities or programs relevant to their needs. Describe the administrative arrangements and referral mechanism which facilitate this end.

For example, summary sheets might be kept for each participant showing activities in which he is involved. A neighborhood aide, trained in programs of other agencies, might have responsibility for referring a participant to other activities or agencies and keeping in touch with the individual to determine results of the referrals.

**f. What follow-up activities will assist participants upon completion of the program?**

Describe the type and duration of follow-up services necessary to achieve the objectives of the program once participants have completed an activity.

For example, in a Job Development, Placement and Follow-up program account, the neighborhood aide might keep in touch with a participant recently placed in a job for a few months to help him adjust to the job and iron out difficulties which might arise.

**Note: Upward Bound** supplementary instructions: This question need not be answered. Answer instead Questions II m. and n. on the Upward Bound Supplementary Work Program.

**g. How will other members of the participant's family be involved in the program account or other programs?**

Describe the steps you will take to bring the participant's family into this or other programs which will help the family overcome its poverty condition.

For example, the outreach worker for a Pre-vocational and Vocational Training program account might contact the participant's family and encourage the wife to attend neighborhood council meetings. Children in the family might be referred to Head Start or remedial education programs.

**h. What facilities are needed for the operation of the program and where are they located?**

Describe the physical facility in which each activity of the program account will operate. If the facility is not adequate to program needs, describe the necessary modifications. Give the name and address of each facility, indicating whether it is part of a neighborhood center or other premise. Attach a map of the area showing the location of each facility and its relation to the target area.

For example, a Special Summer Program



## CAP 7 . . .

might require a local construction site in the target area for swimming pools and an abandoned store for a teen club.

**Note: Comprehensive Health Services** supplementary instructions: State whether the present facility is accessible to the population being served and to the back-up hospital.

**Note: Upward Bound** supplementary instructions: Describe the physical and residential facilities that will be available to the students. Describe additional facilities, if any, which will be used during the academic portion programs.

### i. What transportation is required and how will it be provided?

If the activity is not located within walking distance of most target area residents, discuss the distance from the target area, what transportation is needed and how it will be provided.

For example, examination and treatment in a Dental Care program account might occur at a clinic outside the target area. Bus transportation might be available for some residents while others might need cars to reach the clinic. The CAA might arrange a volunteer car pool leaving neighborhood centers at specified times. Or these activities might be brought to the residents through use of an equipped mobile van.

**Note: Legal Services** supplementary instructions: This question refers to transportation to reach local neighborhood legal offices or to permit attorneys to reach clients.

### j. What major new equipment is needed?

List those major items of equipment not now owned or rented which are required to carry out the program. Indicate how such equipment will be obtained.

A Prevocational or Vocational Training program, for example, might require a hydraulic hand lift and a long arm grinder buffer to be obtained second hand from a construction firm.

### k. What problems do you foresee in carrying out the program?

State the key problems which might hinder effective operation of the program and how you plan to deal with them.

Examples might be: difficulty in recruiting qualified staff, locating adequate facilities, coordinating various activities of the program account, influencing other agencies to change operating procedures to become more respon-

sive to the needs of the poor, and obtaining technical assistance to improve program administration. To find qualified staff advertisements might be placed in professional journals and with State Associations of CAA Directors.

### l. How would you change the program under an expanded or reduced budget?

This question defers to the expansion or reduction shown on the Program Account Budget, CAP Form 25, for requested program year plus one (Column 11). Describe the changes in program content, size and duration you would make and state how these changes have been decided upon. For an expanded budget, discuss the CAA's ability to carry out the larger program. For a reduced budget, explain why the reduction is possible—or necessary.

For example, you wish to enlarge a Medical Care program account in a rural area in order to: (1) serve more people who do not have access to minimal health services; (2) cause an increase in the county health budget and gain acceptance of the idea of non-professionals as regular County Health Department employees by emphasizing the need for expanded health services and demonstrating how non-professionals can be employed in health programs; and (3) employ more poor people. You can document the need to reach more people and the neighborhood council has given first priority to an expanded health program. A larger program with more visibility might have a greater impact on the County Health Department. In the expanded program more non-professionals would be employed, the County Health Department would be asked to train non-professionals and joint staff meetings between non-professionals and health officials would be initiated.

On the other hand, in a Manpower Program Intake, Assessment and Program Placement program account, the Employment Service may have agreed to finance employment counselors outstationed in neighborhood centers. CAP funding for employment counseling will not be needed.

## IV. RESIDENT PARTICIPATION:

**Note: Comprehensive Health Services** supplementary instructions: In answering this section, refer to the requirements for "community involvement", item 1, set forth in the Program Guidelines and state how they are met.

## CAP 7 . . .

### a. What are the functions and responsibilities of policy advisory groups set up for the program?

Identify the policy advisory groups connected with the program account and describe their functions and responsibilities. Describe or diagram the relationships between the policy advisory groups and the CAA principal representative board, CAA staff and delegate agencies for this program account, if any.

The policy advisory group for a Neighborhood Service Systems program account might be the neighborhood council. Its responsibilities might include: determining center hours, selecting center staff, determining program priorities for the center, choosing programs, reviewing CAA program proposals and electing representatives to the CAA principal representative board.

**Note: Comprehensive Health Services** supplementary instructions: Policy advisory groups refer to the Professional Advisory Group and the Neighborhood Health Council.

**Note: Legal Services** supplementary instructions: Policy advisory groups refer to the Governing Board of the Legal Services program. Describe also the functions of advisory boards set up by the Legal Services Governing Board or the CAA and how these boards coordinate with the Legal Services Governing Board.

**Note: Upward Bound** supplementary instructions: Include both the Public Advisory Committee and the Academic Policy Group and state how many times each will meet during the grant period.

### b. How are members of policy advisory groups selected?

Give the number of members on the policy advisory group showing percentage of representatives of the poor, public officials and other community groups and ethnic or racial composition of the group. Describe the selection procedures for each category of representative.

A Family Planning policy advisory group might be composed of twenty members, 12 of whom are representatives of the poor, 5 professional people and three delegate agency representatives. Five may be Negro, three Mexican-American and the remainder Caucasian. The representatives of the poor may have been elected by the neighborhood councils from their members, the professional people

may have been chosen by local medical and nursing associations and the delegate agency representatives selected by the delegate agency.

**Note: Comprehensive Health Services** supplementary instructions: Attach as appendices A and B to CAP Form 7a the names and affiliations of all members of the Professional Advisory Group and the Neighborhood Health Council.

**Note: Legal Services** supplementary instructions: This refers to the Governing Board. Attach as Appendix C to CAP Form 7b the names, addresses, terms of office and affiliations of each member of the governing board. Give the number of lawyers on the Governing Board.

**Note: Upward Bound** supplementary instructions: Include both the Academic Policy Group and the Public Advisory Committee. Give the number of members of the latter who themselves meet OEO poverty criteria.

### c. What ideas of the poor and target area residents have been included in the work program?

State the specific suggestions made by target area residents which are part of the work program.

For example, target area residents may have suggested through the neighborhood council that neighborhood centers be open on Sunday afternoons and that home management classes be held in the centers.

### d. How will the poor and target area residents influence the program while it is being carried out?

Discuss the procedures established to permit changes in the content and conduct of the program and the process by which target area residents can make their ideas known.

For example, neighborhood councils or policy advisory groups might review the operation of the program after the first three months and suggest changes in hours of operation, outreach methods and referral systems.

**Note: Head Start** supplementary instructions: Describe specifically how parents of Head Start children will be involved in planning and operation of the program and become beneficiaries of it.

### e. What assistance will target area groups and neighborhood based organizations have to help them express their needs and interests as related to the program and to administer programs directly?

## CAP 7 . . .

State specific ways by which target groups will be helped to identify and present their needs and ideas and learn to operate their own programs.

For example, meeting space might be made available and staff assigned to work with the groups in areas such as planning, financial management and program operation. Funds might be given to the groups to run programs. Training workshops in problem identification and solving or direct administration of programs might be held.

### V. ADMINISTRATION:

#### a. If all or portions of the program account are delegated, why did you decide to delegate?

List the activities which will be delegated and state why delegation is preferable to direct CAA operation. Indicate changes delegation might accomplish.

The operation of the social service counseling portion of a General Services program account might be delegated to the Family Service Association which has the expertise and professional staff necessary to carry out an effective program. One aim of delegation might be to change the Association's operating procedures—as a result of increased contact with the poor and use of non-professional employees.

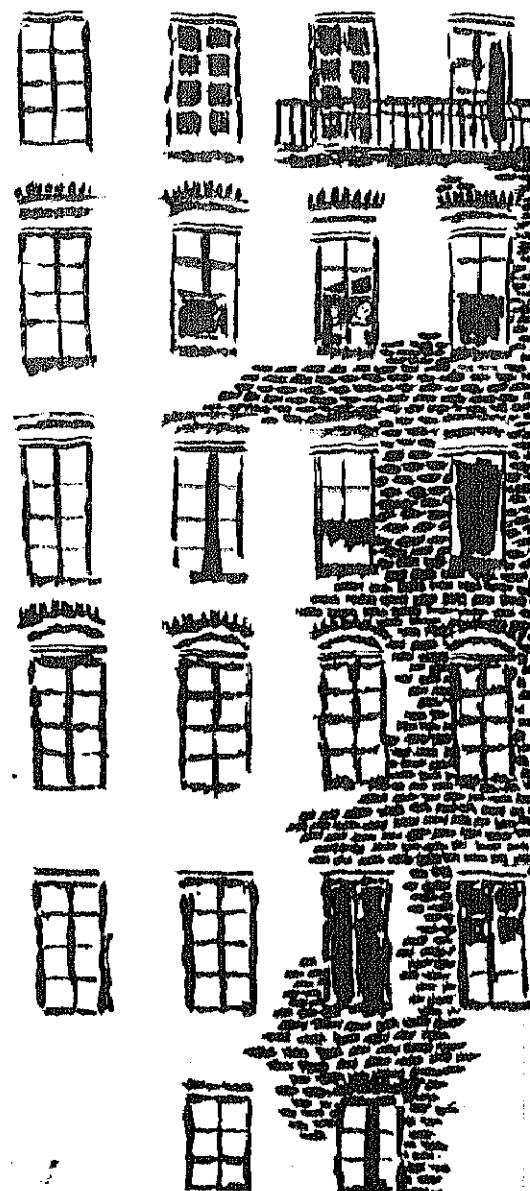
Note: This question need not be answered by Legal Services and Upward Bound programs.

#### b. How will you advertise for, recruit and select staff?

State techniques and sources to be used to advertise staff vacancies. Describe the recruitment and selection procedures, indicating who will be responsible for each. Differentiate between procedures used to fill professional and non-professional positions.

Examples of advertising techniques include: notifying the Employment Service and National Association for Community Development, placing ads in the mass media, posting notices in local shops. Neighborhood aides might be recruited from among fathers of Head Start children. Head Start parent advisory committees might recruit and refer candidates to neighborhood councils for interviewing and recommendation to the Director of Neighborhood Centers for selection.

Note: Legal Services supplementary instructions: Give the staffing pattern for each administrative and operating office.



Note: Upward Bound supplementary instructions: Describe the staffing pattern, specific duties and responsibilities of the program Director and other staff members. Indicate the extent to which members of the staff will be returnees from previous Upward Bound programs or will be new to the program. The staff should be headed by the involved Program Director.

#### c. What functions once performed by professionals will be assigned to non-professional employees as a result of reassessment of professional job requirements?

Describe the jobs previously reserved for professionals which will now be assigned to non-professional employees.

## CAP 7 . . .

For example, professional staff members previously may have trained employees in methods of outreach, intake, counseling and follow-up. Non-professionals may be able to perform this task as effectively as professionals, so training in this area will be handled by non-professionals for the entire staff.

**d. How will non-professional employees be helped to advance to higher level positions within the program?**

Discuss advancement possibilities within the program. Describe how employees will be helped to improve job performance or professional growth, including incentives offered to encourage employees to take academic or other training related to career advancement.

For example, in a Neighborhood Service Systems program account, a neighborhood aide might progressively become an outreach team leader, a neighborhood center assistant director, and a neighborhood center director. In addition to on-the-job supervision, semi-annual formal performance evaluation conferences between supervisor and employee might be held.

Note: **Head Start** supplementary instructions: Describe the Career Development Program for Head Start staff.

**e. How will non-professional employees be helped to gain employment with agencies other than the CAA?**

Indicate types of employment for which non-professionals might be trained, what training or supervision will be provided to help them qualify for such employment and what steps will be taken to secure such employment for non-professionals as part of the regular staffs of other community agencies.

For example, home health aides might qualify as practical nurses following appropriate training and supervision during their employment in a CAA sponsored program. The CAA might arrange for formal training by the local hospital and schools and work out an agreement with the hospital for placement of aides following a period of employment in the CAA program.

**f. What volunteer services are required in the program?**

Describe the services to be performed by volunteers. Indicate whether volunteers will perform professional duties for which Federal funds would otherwise have been required.

For example, in a Consumer Action and Financial Counseling program account, a banker might volunteer his services as financial counselor to credit union shareholders and give lectures on budgetary and debt handling problems. Without these services, the CAA would have to employ a financial counselor.

**g. How will volunteers be recruited?**

Indicate sources and who will be responsible for volunteer recruitment.

For example, volunteer tutors for a School Age Education program account might be sought through the public schools, colleges and teachers' association.

Note: **Legal Services** programs are encouraged to involve faculty and students of local law schools.

**h. What consultant or technical assistance will be needed?**

Describe consultant and technical assistance you hope to have during the program's operation. Indicate the source, if known.

In a Cooperatives program account, for example, a consultant might help set up agricultural buyers' and producers' cooperatives.

**i. What staff training will be provided?**

Note: **Legal Services** programs are encouraged to use existing OEO Legal Services Technical Assistance programs.

Describe staff training programs including orientation for new employees, continuing in-service training and special training related to the program. Indicate how the training will be provided.

Note: **Legal Services** supplementary instructions: Describe the methods used to train your professional and non-professional staff members, listing all training institutes attended by Staff members. Include copies of written training materials and manuals as Appendix D to CAP Form 7b, one copy for the Regional Office and one for Legal Services Program Headquarters.

As an example of special training: Legal Services investigative aides might need training in locating and interviewing witnesses, obtaining and preserving physical evidence and preparing reports. A college or bar association might provide a one week course at the beginning of the program followed by monthly refresher sessions.

## VI. COORDINATION:

Note: **Comprehensive Health Services** supplementary instructions: The CAA may wish to submit additional information on the questions listed under this Section or to com-

## CAP 7 . . .

ment on the answers provided by the administering agency.

**a. Checkpoint procedures have been followed and forms are (are not) attached.**

If copies of CAP Form 46, Checkpoint Procedure for Coordination Between CAP and Other Anti-Poverty Activities are not attached, describe action taken to obtain comments and explain why the form is not attached. Do not answer this question if forms are attached.

**b. What other agencies in the community are dealing with problems related to the program account?**

List the Federal, State and local public and private agencies which have programs related to the program account and identify the programs.

For example, services available to the poor related to the Medical Care program account might include maternal and infant care clinics, dental clinics, and an immunization program sponsored by the Health Department,

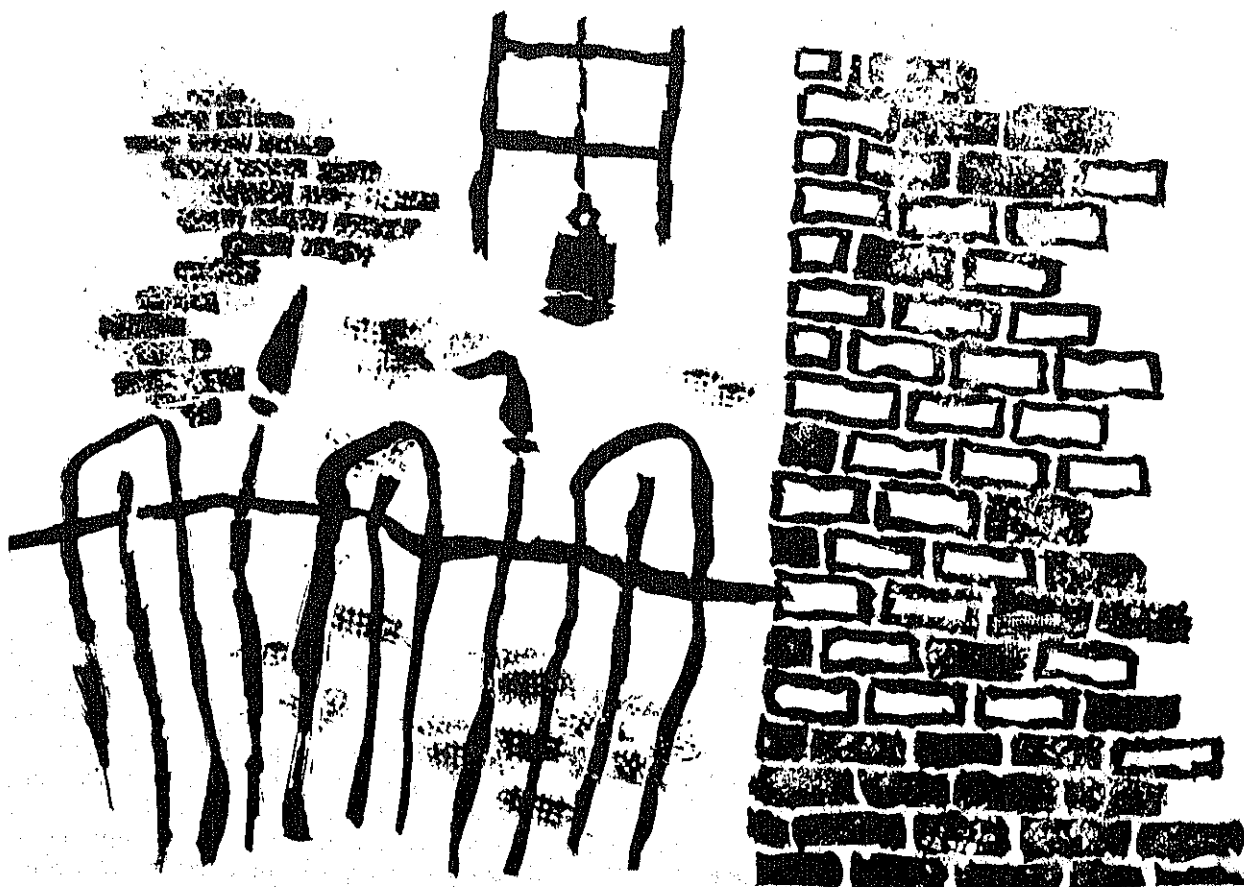
a family planning service run by the Planner Parenthood Committee and a rodent control program operated by the city government.

**Note: Legal Services** supplementary instructions: Specify existing Legal Aid Societies and Law School Clinics.

**Note: Upward Bound** supplementary instructions: This question relates primarily to institutions which aid students through education. The most obvious example is the school each student attends. If, there are other community agencies which are educational forces on some of the students in the program, these should be cited. The word **education** should not be used in a narrow sense to mean purely academic.

**c. What arrangements do you have with these agencies to coordinate their programs with the activities of the program account?**

Describe the formal and informal ways by which the Boards and staffs (supervisory and line) of the CAA and the agencies listed in answer to question VI.b. will ensure an integrated approach to achieving the objectives of the program account. Show how duplication



of service will be avoided or, if duplication occurs, indicate the reasons. Discuss specific referral arrangements with the agencies concerned.

**Note: Comprehensive Health Services** supplementary instructions: The answer to question VI.g. on the Comprehensive Health Services Supplementary Work Program, CAP Form 7a may be substituted for this question **except** that arrangements for coordination with agencies or programs **other** than those listed in g must be discussed in answer to question c.

**Note: Legal Services** supplementary instructions: Describe also your methods of coordination with the CAA and other community agencies concerning the social welfare and education phases of your program and any contemplated changes under the proposed refunding:

For example, in a Housing Services program account, the local housing authority and CAA Board might concentrate on placing target area residents in a new housing project. The CAA director and housing project director would arrange for joint staff cooperation. At a joint staff meeting of neighborhood aides and housing development staff, eligibility requirements would be explained, procedures for referral, placement and follow-up decided, and specific liaison functions assigned. Regular joint staff meetings would be scheduled. Referrals would be mutual: neighborhood aides would send applicants to the housing project; housing project staff would give information about the CAA's programs to tenants and contact neighborhood aides about individual residents needing help. In this case, there is no duplication of services.

**d. How have you encouraged other agencies to provide or help finance activities of the program account?**

Indicate public or private agencies contacted, the nature of the activity for which funds or services were requested and the response received.

In a Consumer Action and Financial Counseling program account, for example, the Small Business Administration may have been asked and agreed to outstation counselors in neighborhood centers. The YMCA may have been asked to give a course in consumer education to target area residents but refused. Therefore, CAP funds are requested for this activity.

**e. What changes in approaches to poverty**

**problems do you foresee as a result of the operation of the program account?**

Indicate changes in focus, attitudes or operational procedures of other public or private agencies leading to new or modified approaches to poverty problems which might result from both CAA activities and joint CAA-other agency coordination. Specify the nature of such changes and probable agencies affected.

Changes include: new definitions of poverty causes, new ways of dealing with poverty problems, reallocation of community resources not now directed toward poverty problems, re-ordering of resources now directed toward poverty to focus on higher priority needs, increasing available resources and more participation by the poor in policy and administrative functions.

For example, as a result of a Community Organization program account the city government might recognize the need for improved health and safety measures in the target area and respond by allocating funds for traffic lights and daily garbage collection. The Urban Renewal Agency might reserve seats on its Board of Directors for target area residents.

**VII. EVALUATION:**

**a. How will the effectiveness of the program be evaluated?**

Describe the procedures by which the effectiveness of the program in achieving its objectives will be evaluated. Indicate how standards will be established and what criteria will be used as the basis for such standards. For objectives which cannot be quantified give the indicators of success. Identify who will conduct evaluations. Discuss how the poor and target area residents will participate.

For example, continuing monitoring may occur through analysis of monthly financial and quarterly statistical and narrative MIS reports, problems raised at staff meetings and suggestions solicited from neighborhood councils each quarter. Six months after the start of the program, a team composed of central administration staff, a University consultant, representatives of neighborhood councils and Board members could conduct an in-depth evaluation of program operations. Standards against which to measure progress might be prepared by CAA staff and the consultant. The views of target area residents might be solicited through interviews with a representative sample. A report summarizing the team's

## CAP 7 . . .

finding would be presented to the Executive Director and Board of Directors.

**Note: Legal Services** supplementary instructions: This question **excludes** an evaluation of professional competence or services of lawyers.

**Note: Upward Bound** supplementary instructions: Include the formal and informal means used for feedback on how things are going, e.g. student comments, staff comments, students' attitudes and their achievement since entering the program.

### **b. How will recommendations for improvement be put into effect?**

Describe the process by which findings of evaluation studies will be assessed and courses of action determined.

Evaluation findings might be reviewed by the CAA Director, Program Staff Director and proper Board committee. Following discussion with neighborhood groups, key staff members would determine which recommenda-

tions to accept, which can be adopted immediately and which deferred pending additional funds or program refunding. Assignments would be made to make necessary changes in program operations.

## **VIII. ADDITIONAL COMMENTS:**

### **a. Provide other information you consider important in describing the purpose and operation of the program account.**

Discuss those items of major importance which have not been considered in answer to previous questions. See supplementary work program questions and instructions for Comprehensive Health Services, Legal Services and Upward Bound program accounts.

**Note: Legal Services** supplementary instructions: Describe any other significant or unique activities undertaken by your program such as research and other activity directed toward statutory reform and representation of prisoners in civil matters. Discuss your plans for expansion of these activities or new activities under the proposed program.

## **Instructions: Comprehensive Health Services Supplementary Work Program, CAP Form 7a**

The Comprehensive Health Services Supplementary Work Program, CAP Form 7a, is completed for each Comprehensive Health Services program account **in addition to** the Program Account Work Program, CAP Form 7.

Questions on the CAP 7a are numbered to follow the questions under the same headings on the CAP 7.

The administering agency answers **all** questions listed on the CAP 7a. Each question should be answered by a concise narrative statement which

is brief but specific enough to give a clear understanding of the work to be performed. Show the name of the community action agency, grant number, program account title and question being answered on each page of the attachment.

Indicate on the CAP 7a the page of the narrative on which the answer to each question begins. Show the name of the project or projects of which the program account is a part on the first page of the CAP 7a. "Program Year" refers to the year for which program approval is requested.



<b>OFFICE OF ECONOMIC OPPORTUNITY - APPLICATION FOR COMMUNITY ACTION PROGRAM</b> <b>COMPREHENSIVE HEALTH SERVICES SUPPLEMENTARY WORK PROGRAM</b>		Form Approved, Budget Bureau No. 116-R0157
COMMUNITY ACTION AGENCY		GRANT NO.
PROGRAM ACCOUNT TITLE  Comprehensive Health Services		PROGRAM ACCOUNT NO.  41
PROJECT TITLE(S)		PROGRAM YEAR _____
		END DATE: _____

I. PURPOSE	PAGE NO.
d. What is the latest local information available on health indices, such as infant and maternal mortality, tuberculosis, chronic disability, hospitalization?	
e. What information is available on the adequacy and shortcomings of health resources and services in the neighborhood or area?	
<b>II. PARTICIPANTS</b>	
e. What are the geographic boundaries of the neighborhood or area to be served? <i>(Include census tract numbers)</i>	
f. What is the latest estimate of the total eligible population in the target area?	
g. Will any persons served by the program be charged for services? If so, include schedule of fees or methods of prepayment. How were these policies decided?	
h. How do the proposed fees relate to the actual cost of the services provided?	
<b>III. PROGRAM</b>	
m. At what hours are the various services offered?	
n. What are the specific arrangements for services not provided at the Center, i.e., in-patient care, home care, etc.? How is continuity of care achieved? Do the Center's physicians have appropriate staff privileges or faculty appointments?	
o. What kind of outreach services will be provided? How are these activities integrated with the health care services?	
p. What arrangements encourage continuing personal relationships between staff and patients?	
q. What type of record system is used? Are there family records? Does the record system facilitate continuity of care?	
r. What mechanisms are directed at maintaining and furthering quality of care?	
s. Are there plans for additional space in the present or other facilities? If so, how will these arrangements meet the requirements of Appendix B of the Program Guideline?	
<b>V. ADMINISTRATION (Including Manpower Development)</b>	
j. What is the relationship between the various units of the program? <i>(Submit an up-to-date organizational chart)</i>	
k. What are the proposed ratios of physicians and dentists to eligible population? <i>(See Table I)</i>	
l. What is the proposed ratio of supporting personnel to population?	
m. What is the basis for setting staff salaries?	
n. Are there any special policies governing physician income, including income from other sources?	
o. How much time of full-time professional personnel will be devoted to teaching, research or other duties?	
p. What is the role of medical, dental, nursing, and other students, including interns and residents?	
q. What is the current nature and status of the training program for neighborhood residents and what changes are planned? How are trainees selected? What have been the most notable experiences to date? What has been the experience with respect to turnover, placement and career advancement?	

PROGRAM ACCOUNT TITLE	GRANT NO.
Comprehensive Health Services	

VI. COORDINATION	PAGE NO.
<p>f. What are the extent of participation and nature of attitudes of the following groups in the development of the program and application:</p> <ol style="list-style-type: none"> <li>1. local medical association</li> <li>2. local hospitals</li> <li>3. local and State health departments</li> <li>4. local and State welfare departments</li> <li>5. local and State mental health agencies</li> <li>6. voluntary health agencies</li> <li>7. local regional and State planning agencies</li> <li>8. other key or area community agencies serving the neighborhood</li> </ol>	
<p>g. What arrangements are completed or planned for coordination with the following programs:</p> <ol style="list-style-type: none"> <li>1. State "Medicaid" Program (Title 19)</li> <li>2. "Medicare" Program (Title 18)</li> <li>3. Maternal and Infant Care Program</li> <li>4. Children and Youth Programs</li> <li>5. "Partnership for Health" Program</li> <li>6. Regional Medical Program</li> <li>7. Community Mental Health Programs</li> <li>8. Vocational Rehabilitation Programs</li> <li>9. FHA Group Practice Loan Guarantee Program</li> </ol>	
h. What proportion of the population to be served is potentially eligible under the Title 18 and 19 programs? (Submit copy of fees schedule)	
i. What are the current rates of reimbursement?	
j. What assistance is provided to help neighborhood residents qualify for medical and other assistance?	
k. What specific relationships will be established for working with other OEO/CAP programs, e.g., Head Start, Legal Services, Manpower Development?	
l. Have there been any major recent changes in other health, welfare, recreational or other social services in the area?	
VII. EVALUATION	
c. Have special efforts been undertaken or planned to collect base line data for evaluation?	
d. What special research or evaluation activities have been undertaken or planned? (Include activities to be funded from all sources.)	
e. What activities have been undertaken or planned to determine neighborhood residents' attitudes and satisfaction concerning the health services provided?	
f. List published reports on the progress of the program. Attach a copy of each.	

PROGRAM ACCOUNT TITLE

Comprehensive Health Services

GRANT NO.

## VIII. ADDITIONAL COMMENTS

b. Complete the following table:

TABLE I

EMPLOYED STAFF AS OF (Date) \_\_\_\_\_

STAFF	FULL-TIME EQUIVALENT	FULL-TIME	PART-TIME	NUMBER	NEIGHBOR- HOOD RESIDENT	BY CENTER
<b>MEDICAL STAFF</b>						
GENERAL PRACTITIONER						
INTERNIST						
OB/GYN						
OTHER PHYSICIANS						
CLINICAL REGISTERED NURSES						
PUBLIC HEALTH REGISTERED NURSES						
<b>DENTAL STAFF</b>						
DENTISTS						
DENTAL SPECIALIST						
DENTAL HYGIENISTS						
<b>ALLIED HEALTH STAFF</b>						
PHARMACISTS						
SOCIAL WORKERS						
ADMINISTRATIVE STAFF						
OTHER						
<b>OTHER HEALTH RELATED STAFF</b>						
LICENSED PRACTICAL NURSES						
FAMILY HEALTH WORKERS						
X-RAY TECHNICIANS						
LABORATORY TECHNICIANS						
DENTAL TECHNICIANS						
OTHER (Identify)						

OFFICE OF ECONOMIC OPPORTUNITY - APPLICATION FOR COMMUNITY ACTION PROGRAM		Form Approved, Budget Bureau No. 116-R0157
LEGAL SERVICES SUPPLEMENTARY WORK PROGRAM		
COMMUNITY ACTION AGENCY	GRANT NO.	
PROGRAM ACCOUNT TITLE	PROGRAM ACCOUNT NO.	
Legal Services	57	
PROJECT TITLE(S)	PROGRAM YEAR _____	
	END DATE: _____	
<b>II. PARTICIPANTS</b>		<b>PAGE NO.</b>
e. What are the eligibility standards?		
f. Within these standards, what are the flexibility provisions?		
g. Do these standards represent a change from those of your present program? If yes, explain.		
<b>III. PROGRAM</b>		
m. Is any increase or other change in the location or staffing of any of your offices contemplated? If yes, describe and justify the changes.		
n. What types of cases will be excluded? (Check if excluded) If type (1) or (2) cases are to be included, explain.		
(1) <input type="checkbox"/> Criminal representation		
(2) <input type="checkbox"/> Fee generating cases		
(3) <input type="checkbox"/> Others (List in narrative attachment)		
o. Do these represent a change from those of your present program? If yes, explain.		
p. How will you refer ineligible clients or fee generating cases and how will you follow through?		
q. Does this represent a change from your present system? If yes, describe.		
r. What cases handled by your program could result in a beneficial change in the law as it affects the poor?		
s. How will you increase or modify your efforts in the above regard?		
t. What efforts will be taken to educate target area residents about the substantive legal problems they face?		
u. What efforts will be taken to educate social workers and other groups that work with the poor about legal problems of the poor?		
v. What community education is your present program undertaking with respect to questions t. and u. above?		
<b>IV. RESIDENT PARTICIPATION</b>		
f. Are any changes planned in the board structure or method of selection described in answer to questions a. and b.? If so, state the reasons for the change.		
g. What services are performed for groups of target area representatives, such as providing the legal organization for self-help cooperative ventures, advocating the position of target area groups before public bodies, etc.?		
h. What expansion or modification of such activities is planned for the requested program?		

PROGRAM ACCOUNT TITLE		GRANT NO.
Legal Services		
V. ADMINISTRATION		PAGE NO.
j. Attach as Appendix C the name, position, salary, office location and a brief resume (for professional personnel only) of all personnel currently in the program.		
k. What are the job titles, salaries, and justification for any proposed new positions?		
l. What salary increases are proposed for staff personnel and what is the justification for such increases?		
VI. COORDINATION		
f. Describe your relationship with the law schools located in your community, including the use of the law school as a research resource facility, the use of part-time and summer law students, participation in legal aid courses or substantive courses on law and poverty, etc.		
g. What are your plans concerning law school coordination under the proposed program?		

# Instructions: Legal Services Supplementary Work Program, Form CAP 7b

The Legal Services Supplementary Work Program, CAP Form 7b, is completed for every Legal Services program account in addition to the Program Account Work Program, CAP Form 7.

Questions on the CAP 7b are numbered to follow the questions under the same headings on the CAP 7. The following instructions relate to questions on the CAP 7b. If no instruction is included, the question is considered self-explanatory.

Answer **all** questions listed on the CAP 7b. Each question should be answered by a concise narrative statement which is brief but specific enough to give a clear understanding of the work to be performed. Show the name of the community action agency, grant number, program account title and question being answered on each page of the attachment.

Indicate on the CAP 7b the page of the narrative on which the answer to each question begins. Show the name of the project or projects of which the program account is a part on the first page of the CAP 7b. "Program Year" refers to the year for which program approval is requested.

## II. PARTICIPANTS:

### e. What are the eligibility standards?

Prime facie standards are: \$1,500 annual income for an individual; \$2,000 annual

income for a married couple; \$500 additional for each dependent; maximum \$4,500.

### f. Within these standards, what are the flexibility provisions?

Standards should have a degree of flexibility to provide assistance in cases of unusual hardship which may be caused, for instance, by lengthy periods of unemployment or illness.

## III. PROGRAM:

### r. What cases could result in a beneficial change in the law as it affects the poor?

Describe such cases and their current status. Include matters before administrative tribunals. If pleadings or briefings are available, attach as Appendix A one copy for the Legal Services specialist in the appropriate Regional Office and one copy for the Legal Services Office Headquarters.

### v. What community education is your present program undertaking with respect to questions t. and u. above?

Attach as Appendix B one copy of educational material about the availability of the program or substantive legal problems of the poor for the Legal Services specialist in the appropriate Regional Office and one copy for the Legal Services Office Headquarters.



<b>OFFICE OF ECONOMIC OPPORTUNITY - APPLICATION FOR COMMUNITY ACTION PROGRAM</b> <b>UPWARD BOUND SUPPLEMENTARY WORK PROGRAM</b>		<i>Form Approved,</i> <i>Budget Bureau No. 116-R0157</i>
COMMUNITY ACTION AGENCY		GRANT NO.
PROGRAM ACCOUNT TITLE Upward Bound		PROGRAM ACCOUNT NO. 27
PROJECT TITLE(S)		PROGRAM YEAR _____ END DATE: _____
<b>II. PARTICIPANTS</b>		<b>PAGE NO.</b>
e. What grade will each student have completed at the time he enrolls in the program?		
f. What areas will the students come from?		
g. Which areas, if any, are beyond a 50 mile radius of the sponsoring academic institution?		
h. How many high schools will the students be recruited from?		
<b>III. PROGRAM</b>		
m. What are the administering academic institution's intentions with respect to the students after the grant period has ended?		
n. What are the administering academic institution's intentions with respect to the students after they complete high school?		
<b>V. ADMINISTRATION</b>		
j. How will nonprofessionals be used as supporting staff in the program?		



# Instructions: Upward Bound Supplementary Work Program, CAP Form 7c

The Upward Bound Supplementary Work Program, CAP Form 7c, is completed for each Upward Bound program account in addition to the Program Account Work Program, CAP Form 7.

Questions on the CAP 7c are numbered to follow the questions under the same headings on the CAP 7. The following instructions relate to questions on the CAP 7c. If no instruction is included the questions are considered self-explanatory.

Answer all questions listed on the CAP 7c. Each question should be answered by a concise narrative statement which is brief but specific enough to give a clear understanding of the work to be performed. Show the name of the community action agency, grant number, program account title and question being answered on each page of the narrative.

Indicate on the CAP 7c the page of the narrative on which the answer to each question begins. Show the name of the project or projects of which the program account is a part on the first page of the CAP 7c. "Program Year" refers to the year for which program approval is requested.

## II. PARTICIPANTS

e. What grade will each student have completed at the time he enrolls in the program?

For each student to be enrolled give the grade level completed at the time of entrance into the Upward Bound program for which the application is being made, e.g. ten students will have completed the tenth grade; twenty, the eleventh, etc.

g. Which areas, if any, are beyond a 50-mile radius of the sponsoring academic institution?

If there are areas beyond the 50-mile radius from which the students are coming, explain how these students will be served.

## III. PROGRAM

m. What are the administering academic institution's intentions with respect to the students after the grant period has ended?

For the non-bridge students, the answer to this question will be that the academic institution intends to run a subsequent Upward Bound program. For the bridge students, the answer may be similar to the answer to III n.

n. What are the administering academic institution's intentions with respect to the students after they complete high school?

Treat matters such as helping students to be placed in colleges and to obtain necessary financial aid.

OFFICE OF ECONOMIC OPPORTUNITY - APPLICATION FOR COMMUNITY ACTION PROGRAM		Form Approved, Budget Bureau No. 116-R0157	
CENTRAL ADMINISTRATION WORK PROGRAM			
COMMUNITY ACTION AGENCY		GRANT NO.	
PROGRAM ACCOUNT CAA Administration		PROGRAM ACCOUNT NO. 01	
PROJECT TITLE(S)		PROGRAM YEAR _____	
		END DATE: _____	
I. FUNCTIONS AND ORGANIZATION			PAGE NO.
a. What basic functions does the CAA central staff perform?			
b. What is the CAA central staff organizational structure?			
c. What are the functions of each major unit in the CAA's central staff?			
d. What are the supervisory relationships and responsibilities in the central staff and between central staff and field staff?			
e. How is coordination achieved among the units of the CAA central staff?			
f. What management improvements do you plan to make in the coming program year?			
II. PERSONNEL ADMINISTRATION			
a. How are central staff employees recruited, selected, evaluated, and promoted?			
b. What career development programs have been established to permit staff advancement within the CAA?			
c. What staff training is provided by the CAA?			

# Instructions: Central Administration Work Program, CAP Form 7d

The purpose of the Central Administration Work Program, CAP Form 7d, is to describe the organization and management of the CAA's central staff and to explain how administrative goals are designed to support program goals.

Answer all questions listed on the CAP 7d. Each question should be answered by a concise narrative statement which is brief but specific enough to give a clear understanding of the work to be performed. Show the name of the community action agency, grant number, program account title and question being answered on each page of the attachment.

Indicate on the CAP 7d the page of the narrative on which the answer to each question begins.

Show the name of the project or projects of which the program account is a part on the first page of the CAP 7d. "Program Year" refers to the year for which program approval is requested.

A CAP Form 7d is required only for program accounts 01 CAA Administration and 87 Migrant Program Administration.

## I. FUNCTIONS AND ORGANIZATION:

### a. What basic functions does the CAA central staff perform?

List and describe the major areas of responsibility with which the central staff is concerned. Describe the role of the central staff in



executive direction, public information and relations, management support, planning, fiscal management, personnel management, coordination with other agencies, etc. Include in this description all positions on the central staff even if they are funded out of program accounts other than 01.

**b. What is the CAA central staff organizational structure?**

Attach a chart of the major program and administrative units in the CAA central staff. Identify line and staff functions and show the relationship between the key units. If necessary for clarity, provide a narrative description of the relationships. Include on this chart all central staff program and administrative units even if they are funded out of program accounts other than 01.

**c. What are the functions of each major unit in the CAA's central staff?**

Discuss the specific functions of each unit shown on the chart attached in answer to question I.b. Describe how each function relates to one or more of the central staff's functions as identified in answer to question I.a. Indicate the responsibilities and authority of each unit in carrying out its function.

**d. What are the supervisory relationships and responsibilities in the central staff and between central staff and field staff?**

Identify staff positions which have major supervisory responsibilities. Describe the functions of each in terms of lines of authority over subordinates and the procedures by which responsibility is delegated. Discuss the lines of authority between key central staff and key field staff (such as neighborhood central coordinators, Head Start centers, etc.).

**e. How is coordination achieved among the units of the CAA central staff?**

Describe how the major units in the central staff work together to prevent duplication of effort and to assure that each unit has a relevant and timely role in the management processes of the CAA. Explain how staff is informed on CAA policy and management decisions and how the executive director obtains feed-back from staff.

**f. What management improvements do you plan to make in the coming program year?**

Describe the steps you will take to increase management effectiveness of CAA-wide fiscal, personnel, administrative and reporting functions.

**II. PERSONNEL ADMINISTRATION:**

**a. How are central staff employees recruited, selected, evaluated and promoted?**

Describe procedures for advertising, recruiting, selecting, evaluating and promoting staff, indicating who will be responsible for each. Differentiate between procedures used for professional and nonprofessional positions.

**b. What career development programs have been established to permit staff advancement within the CAA?**

Discuss advancement possibilities within the CAA. Describe how employees are helped to improve job performance or to promote professional growth, including incentives offered to encourage employees to take academic or other training related to career advancement.

**c. What staff training is provided by the CAA?**

Describe central staff training programs including orientation or basic training for new employees, on-going in-service training programs and special training or technical assistance. Indicate how such training will be provided.



**CHECKPOINT PROCEDURE FOR COORDINATION BETWEEN  
CAP AND OTHER ANTI-POVERTY ACTIVITIES**

Budget Bureau No. 116-R047  
Approval expires December 31, 1969

(THIS SPACE FOR OEO USE.)

The community action agency named below plans to apply to OEO for financial assistance under Title II-A or III-B of the Economic Opportunity Act of 1964, as amended, to carry out community action projects that may concern your office, agency, or institution. The activity that the community action agency plans to undertake is described in Section I, below. In order to assure that this activity is coordinated with your own program or concerns, you are requested to complete Sections II and III of this form.

OEO requires the community action agency to allow each office, agency, or institution to which this form (CAP Form 46) is sent, a minimum of 15 days from receipt of the form to complete it and return it to the community action agency. If you are unable to respond fully to the request within this time period, you may either request additional time from the community action agency or, if its schedule will not permit an extension, you may return the form with a notation explaining why you were unable to complete it.

The checkpoint procedure is not designed to require concurrence in proposed community action activities by all potentially concerned local officials, agencies, or institutions. Where there has been prior consultation, and where no valid arguments have been advanced against a proposal, OEO will consider it on its merits. What OEO does require of a community action agency is that it provide a meaningful opportunity for affected local or State agencies to express their concerns.

**SECTION I.**

**APPLICANT AGENCY AND PROPOSED ACTIVITY**

1. NAME OF COMMUNITY ACTION AGENCY				2. DATE THIS FORM PREPARED	
3. ADDRESS					
NO. AND STREET		CITY	COUNTY	STATE	ZIP CODE
4. NAME AND TITLE OF STAFF DIRECTOR					5. TELEPHONE NO. (Include Area Code)
6. BRIEF DESCRIPTION OF PROPOSED COMMUNITY ACTION PROJECT(S):					

7. TOTAL ESTIMATED COST OF PROPOSED ACTIVITY	8. NON-FEDERAL SHARE	9. FEDERAL SHARE
----------------------------------------------	----------------------	------------------

**SECTION II.**

**OFFICIAL OR AGENCY RESPONDING TO FORM**

10. TITLE OF OFFICIAL OR AGENCY RESPONDING				11. DATE OF RESPONSE	
12. ADDRESS					
NO. AND STREET		CITY	COUNTY	STATE	ZIP CODE
13. TYPED NAME AND TITLE OF INDIVIDUAL COMPLETING THIS FORM			14. SIGNATURE		15. TELEPHONE NO. (Include Area Code)

**SECTION III.**

**COMMENTS ON PROPOSED ACTIVITY**

16. WERE YOU, OR WAS YOUR AGENCY, CONSULTED IN THE PLANNING OF THE PROPOSED COMMUNITY ACTION PROJECT(S) DESCRIBED IN SECTION I, ABOVE?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO <input type="checkbox"/> OTHER (Describe)
17. WILL THE PROPOSED PROJECT(S) COMPLEMENT AND BE COORDINATED WITH YOUR CURRENT AND PLANNED EFFORTS TO ELIMINATE POVERTY?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO <input type="checkbox"/> OTHER (Describe)
18. DO YOU, OR DOES YOUR AGENCY, RECOMMEND THAT THE PROPOSED PROJECT(S) BE APPROVED BY OEO?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO <input type="checkbox"/> OTHER (Describe)

# Instructions: Checkpoint Procedure, CAP and Other Anti-Poverty Activities, CAP Form 46

The CAA must determine the relationship of the proposed community action program to programs funded under other sections and titles of the Economic Opportunity Act and to other related community programs, whether locally or Federally financed. The CAA must show the work program and budget of program accounts which directly affect the activities or concerns of local or State officials, agencies or institutions to these agencies for comment.

About a month before the funding request is submitted to the OEO Regional or Headquarters Office, the CAA should request the affected agencies to complete the Checkpoint Procedure for Coordination between CAP and Other Anti-Poverty Activities, CAP Form 46, for appropriate program accounts. If, after the concerned official, agency or institution has had a reasonable time to complete the CAP 46 (at least 15 days from receipt of the request), no response has been received, the CAA may submit the funding request to OEO without the CAP 46. In such cases, however, the CAA shall include a description of action taken to obtain comments.

When a funding request is received by OEO either with negative comments from a local or State agency or with no comment and an inadequate explanation for the lack of comment, OEO will communicate with the State or Regional Office of the Federal agency whose program may be involved before approving the funding request. This may delay approval of the funding request or may result in its return to the CAA for further consultation at the local level.

The checkpoint procedure is **not** a requirement for concurrence in or approval of a funding request from all potentially concerned officials, agencies or institutions. What is required is prior consultation and an opportunity for these agencies to ex-

press their concerns. Where prior consultation has occurred and no valid arguments have been advanced, OEO will consider the program account on its own merits.

The CAA must submit the CAP 46 for comment on individual program accounts to the appropriate local official, agency or institution in the following instances:

1. The chief elected official of the community for all funding requests.

2. The local office of the State Employment Service whenever the funding request includes a manpower, employment training or job development program account.

3. The superintendent of any public school system which serves an area that will be included in any adult basic education, pre-school or other remedial or non-curricular education program account included in the funding request.

4. The director of the local office of the State welfare agency whenever the funding request includes a program account designed specifically to aid recipients of public assistance.

5. The executive director of the local public housing or urban renewal agency whenever the funding request includes a program account designed specifically to aid public housing residents or residents of urban renewal areas.

6. The director of the local health department whenever the funding request includes a health service program account.

7. The local representatives of the Farmer Home Administration and the Agricultural Extension Service whenever the funding request includes a program account designed to aid farm families.

**CHECKPOINT PROCEDURE FOR COORDINATION  
OF CAP ACTIVITIES WITH STATE  
ECONOMIC OPPORTUNITY OFFICE ACTIVITIES**

Budget Bureau No. 116-R0145  
Approval expires May 1971

(THIS SPACE FOR OEO USE.)

The Community Action Agency, or other applicant named below, plans to apply to OEO for financial assistance under Section 221, 222, or 232, of Title II of the Economic Opportunity Act of 1964, as amended. The activity that the applicant plans to undertake is described in Section I, below. In order to assure that this activity is coordinated with other programs and concerns, and with other anti-poverty activities within the State, you are requested to complete Sections II and III of this form.

OEO requires the applicant to allow the State Economic Opportunity Office a minimum of 15 days from receipt of this form (CAP Form 77), to complete it and return it. If you are unable to respond fully to the request within this time period, you may either request additional time from the applicant or, if its schedule will not permit an extension, you may return the form with a notation explaining why you were unable to complete it.

This Checkpoint Procedure is not designed to require concurrence in proposed Community Action activities by the State Economic Opportunity Office. What OEO does require is that the applicant provide a meaningful opportunity for the State Economic Opportunity Office to express its concerns and to review the plans for Community Action activities within the State in order to better coordinate such activities with those of other State agencies.

In addition to this form, the State Economic Opportunity Office will receive a copy of the applicant's formal application simultaneously with its submission to the OEO Regional or OEO Project Office, and will be able to make further comments and suggested revisions at that time.

State sign-off on this form is not a waiver of the Governor's authority under Section 242 of the EO Act.

SECTION I. APPLICANT AGENCY AND PROPOSED ACTIVITIES				
1. NAME OF APPLICANT			2. DATE THIS FORM FORWARDED TO SEOO	
3. ADDRESS				
NO. AND STREET	CITY	COUNTY	STATE	ZIP CODE
4. NAME AND TITLE OF STAFF DIRECTOR			5. TELEPHONE NO. (Include Area Code)	
6. COMMUNITIES TO BE INCLUDED IN PROPOSED COMMUNITY ACTION PROJECT(s):				
7. BRIEF DESCRIPTION OF PROPOSED COMMUNITY ACTION PROJECT(s):				



8. TOTAL ESTIMATED COST OF PROPOSED ACTIVITY	9. NON-FEDERAL SHARE	10. FEDERAL SHARE
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**SECTION II. OFFICIAL OR AGENCY RESPONDING TO FORM**

11. NAME OF STATE AGENCY RESPONDING	12. DATE RETURNED BY SEOO
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13. ADDRESS			
NO. AND STREET	CITY	STATE	ZIP CODE

14. TYPED NAME AND TITLE OF INDIVIDUAL COMPLETING THIS FORM	15. SIGNATURE	16. TELEPHONE NO. (Include Area Code)
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**SECTION III. COMMENTS ON PROPOSED ACTIVITIES**

17. DID YOUR OFFICE PROVIDE ASSISTANCE IN THE PLANNING OF THE PROPOSED COMMUNITY ACTION PROJECT(S) DESCRIBED IN SECTION I, ABOVE?

☐ YES (Describe)      ☐ NO

18. WOULD THE PROPOSED PROJECT(S) COMPLEMENT OR COORDINATE WITH OTHER CURRENT AND PLANNED LOCAL, STATE, AND FEDERAL ANTI-POVERTY EFFORTS WITHIN THE STATE?

☐ YES      ☐ NO      ☐ OTHER

EXPLAIN:

## Instructions: Checkpoint Procedure, CAP and State Economic Opportunity Office, CAP Form 77

A special checkpoint procedure for CAAs to use with State Economic Opportunity Offices has been established, using CAP Form 77. The CAA completes Section I of the Form, and forwards it along with copies of CAP Form 5 and CAP Form 81 to its State Economic Opportunity Office for completion of Sections II and III. The SEOO returns Form 77 to the CAA, so that it can be included with the Grant Funding Request.

*This procedure is not intended to waive the Governor's approval authority under Section 242, nor does negative comment or refusal to sign CAP Form 77 constitute State disapproval of the application under Section 242.* The State Economic Opportunity Office is expected to submit written comments to the Regional Office later when it receives the formal Grant Funding Request.

The CAA should prepare the CAP Form 77

during or immediately after completion of the Prereview, and send it to the SEOO, along with copies of CAP Forms 5 and 81. The State Economic Opportunity Office can empower their field representative to review and sign Form 77 in the course of their field visits to the CAA's, thus eliminating the necessity of mailing the form to the SEOO for completion and return. The purpose of this requirement is to give the SEOO knowledge and understanding of the CAA's preliminary proposals for funding requests and activity plans for the coming year, so that it may express its concern, offer useful suggestions, and perform any necessary state level coordination, before such plans are developed into concrete, formal applications.

Completion of this requirement is applicable to all grant applications covered by Instruction 72-10 of April 30, 1968.



## OFFICE OF ECONOMIC OPPORTUNITY - APPLICATION FOR COMMUNITY ACTION PROGRAM

Form Approved.  
Budget Bureau No. 116-R0158

## PROGRAM ACCOUNT BUDGET (Please type or print clearly)

1. APPLICANT AGENCY

2. DATE SUBMITTED

3. PROGRAM YEAR

4. GRANT NO.

5. PROGRAM ACCOUNT

a. P.A. NO.

b. NAME

c. BEGINNING DATE

d. END DATE

6. SUBMITTED AS PART OF (check one):

a. ☐ FUNDING REQUESTb. ☐ AMENDMENT REQUEST (If this item is checked, attach CAP Form 25b, "Justification for Program Account Amendment".)

## SECTION I.

## BUDGET SUMMARY

COST CATEGORY	APPROVED PY		REQUESTED PROGRAM YEAR				REQUESTED PROGRAM YEAR + 1			REQUESTED PY + 2	
	TOTAL PROGRAM (3)	NON-FEDERAL SHARE (4)	TOTAL PROGRAM (5)	FEDERAL SHARE (6)	NON-FEDERAL SHARE (7)	FULL-YEAR		EXPANDED		EXPANDED	
						TOTAL PROGRAM (9)	NON-FEDERAL SHARE (10)	TOTAL PROGRAM (11)	NON-FEDERAL SHARE (12)	TOTAL PROGRAM (13)	NON-FEDERAL SHARE (14)
(2)											
PERSONNEL COSTS											
1.											
1.1											
1.2											
1.3											
2.											
2.1											
2.2											
2.3											
2.4											
2.5											
TOTAL COSTS											
FEDERAL SHARE											
NONFEDERAL SHARE											

CAP FORM 25 (REV. AUG 68) REPLACES CAP FORMS 23, (APR 60); 25, (FEB 66); AND 43, (MAR 67); WHICH ARE OBSOLETE.

## SECTION II.

## PAGES

30

PAGE

**SALARIES AND WAGES (Itemization of Cost Category No. 1.1)**

[illegible]

# Instructions: Program Account Budget, CAP Form 25

The CAP Form 25 is used to summarize the budget, by Federal and non-Federal share and by cost category, for the program account for which funding is requested; to compare this budget with the approved budget for the preceding program year; to indicate the full-year cost of this budget; and to estimate for the two succeeding program years the cost of the expanded program which the applicant could feasibly operate if additional funds were available. The second page of the CAP 25 is used to itemize the Salaries and Wages cost category.

A separate CAP 25 should be completed for each program account for which funding is requested. The following instructions are related to specific items on the form. If no instruction is included, the item is considered self-explanatory.

**Page 1, Items 1-4.** These items are identical to Items 1-4 on the Summary of Application, CAP Form 1.

**Item 5.** Consult Appendix E, "CAP Program Accounts," to determine the appropriate number and name of the program account which comprises the activities for which funding is requested and insert the number and name in "a" and "b", respectively. Insert in "c" and "d" the beginning and end dates of the period during which the program account will operate within the program year. The span between these dates may range up to, but may not exceed the length of the program year. Even if the actual operating period covers portions of two different program years, those segments of the program account for which funds are requested may not begin earlier than the beginning date of the requested program year, and may not end later than the end date of the program year.

Where the actual operating period of a program account begins in one program year and ends in the following program year, the program year budget for the program account should reflect the appropriate segments of the two different operating periods which fall within the requested program year:

For example, a CAA's program year runs April 1 through March 31, and a 10-month program account runs September 1 through June 30. The CAP 25 for Program Year C, which will begin April 1, 1969, and end March 31, 1970, should represent a budget for the last three months (April 1, 1969-June 30, 1969) of one operating period (which actually began in Program Year B) and

the first seven months (September 1, 1969-March 31, 1970) of the next operating period (which will actually end in Program Year D). In such a case, Items 5.c. and 5.d. would be completed as follows:

c. Beginning Date	4/1/69	d. End Date	6/30/69
	9/1/69		3/31/70

**Item 6.** Check box "a"; Funding Request.

## SECTION I, Budget Summary.

**Columns (3), (4).** The program year letter designation to be inserted in the blank space above Columns (3), (4) should be for the program year preceding the program year for which funding is requested. For example, if the program year letter designation in Item 3 above is "C", the designation above Columns (3), (4) should be "B". If the designation in Item 3 is "A" then enter nothing in the blank space above Columns (3), (4).

Insert under Column (3) the net amounts approved by OEO for the program year, reflecting all amendments, if any. If this is a new program account, i.e., a program account never previously funded to the grantee by OEO leave this column blank. Where funds were approved on the old CAP Form 14 (dated March 1966), the old CAP Form 25 (date February 1966), and CAP Form 43, in seven costs categories, the approved figure for the new Cost Category 1, PERSONNEL COSTS, should include all costs approved in the old Cost Categories 1 and 2, and the approved figure for the new Cost Category 2, NONPERSONNEL COSTS, should include all costs approved in the old Cost Categories 3-7.

Where funds were approved on new CAP Forms 14 (and 14a) the approved figures may be taken directly from the following columns of the CAP 14 (if the program account has not been amended) or last CAP 14a on which the program account was listed (if the program account has been amended): PERSONNEL COSTS—Column (8); NONPERSONNEL COSTS—Column (9); TOTAL COSTS—Column (7); TOTAL FEDERAL SHARE—Column (3); and NONFEDERAL SHARE—Column (6).

Column (4), to be completed only for TOTAL COSTS line, should indicate the number of months which OEO approved for the program account to operate during the approved program

## CAP 25 . . .

year. This figure can be taken directly from the top of the old CAP 25, CAP 43, or from Column (10) of the CAP 14.

**Columns (5)-(7).** Insert in these columns the Total Program, Federal Share, and Non-Federal Share, requested for PERSONNEL COSTS, NONPERSONNEL COSTS, and TOTAL COSTS. Personnel and Nonpersonnel costs should be broken down into three and five sub-cost categories, respectively. OEO will not approve at the sub-cost category level; these figures are requested to assist the applicant in building its budget and to indicate the order of magnitude of these sub-categories. The figure for any cost category under Column (5) should equal the total of the corresponding figures under Columns (6) and (7). The TOTAL COSTS figures under Columns (6) and (7) should equal, respectively, the FEDERAL SHARE and NONFEDERAL SHARE figures under Column (5).

The figures entered in Columns (5)-(7) should represent a realistic assessment of the program level which the CAA could feasibly attain in the requested program year, not necessarily the program level anticipated when the requested program is fully operational. For example, a program account may not be fully phased in at the start of its program year operating period, or what will eventually be a 12-month program account may not get underway until the sixth month of the program year. In such instances the amounts requested would be considerably less than the program level eventually anticipated.

The figures in Column (6) should represent the Federal share level requested. This should include not only the new Federal funds requested but also unexpended Federal funds from the approved program year which the applicant requests to be reprogrammed in the requested program year.

**Column (8).** This column, to be completed only for the TOTAL COSTS line, should indicate the number of months during which the program account will operate in the requested program year. This should equal the span between the dates indicated in Item 5.c and 5.d.

**Column (9).** The column should indicate the full-year cost in the requested program year +1 of the total program requested in Column (5). Full-year cost represents the program level the program requested in Column (5) is anticipated to attain when fully operational.

However, the full-year cost should not include

the cost of any program operations for which approval is not specifically requested in the CAP Form 7, "Program Account Work Program," or in supplementary work programs. Neither should the full-year cost include the cost of any program operations which will not be at least partially underway by the end of the requested program year.

The full-year cost does not necessarily represent the cost of operating a program for 12 months. This will depend on the nature of the program account and on whether or not it is intended to operate for 12 months during a given program year when fully operational. If, for example, an education program is intended to operate during a 9 or 10 month school year, the full-year cost should not represent the proportionately higher cost of operating the program for 12 months.

Full-year cost should take into account both built-in increased costs, such as incremental salary increases, and reduced costs, as when one-time equipment outlays are not repeated in the subsequent program year. Similarly, full-year cost should reflect both the phasing in and the phasing out, during the requested program year and the following program year, of program operations.

For example, a program account slated to run 12 months during the following program year may operate for only six months during the requested program year, or a program account which will provide for three neighborhood centers may have only one center operating at the start of the program year while a second center will begin operations three months later, and a third, six months after that. On the other hand, a program account which is fully operational at the start of the requested program year may gradually reduced operations in the requested or following program year, or other sources of funds may become available in the following program year, thereby requiring reduced OEO funding.

Accordingly, the full-year cost of a program account may be higher, lower, or approximately the same as the requested program level.

**NOTE:** Applicants are cautioned that OEO is in no way committed to refund a program account at the full-year cost level indicated in Column (9) even if the program account is eventually approved at the level requested in Columns (5)-(7).

**Column (10).** This column, to be completed only for the TOTAL COSTS line, should indicate the number of months during which the program account will operate when fully operational. As noted above, this figure may or may not be 12 months, depending on whether or not the program

## CAP 25 . . .

account will operate throughout the program year even when fully operational.

**Columns (11) and (13).** These columns should indicate the expanded program level which the applicant could feasibly attain in the first and second program years, respectively, following the requested program year if unlimited, unearmarked funds were available for that purpose. The full-year costs indicated in Column (9) should be used as the base upon which such expansion should be built. Expansion could reflect several factors: additional beneficiaries to be served; increased level of activity or services; expanded or additional facilities; inclusion of new or larger target areas; improved program quality; or extension of the program account operating period if the current period is less than 12 months. The justification for the figures shown in this column should be included in answer to question III.1. on the CAP 7 and should take into account the applicant's **capacity**, as well as desire, to mount such an expanded program effort. Constraints to be considered are manpower and physical resources, time, management capabilities, public acceptance, and the legal requirements for non-Federal share, normally 20% at present.

**Columns (12) and (14).** These columns, to be completed only for TOTAL COSTS, should indicate the number of months during which the expanded program account will operate during each of the two program years following the requested program year.

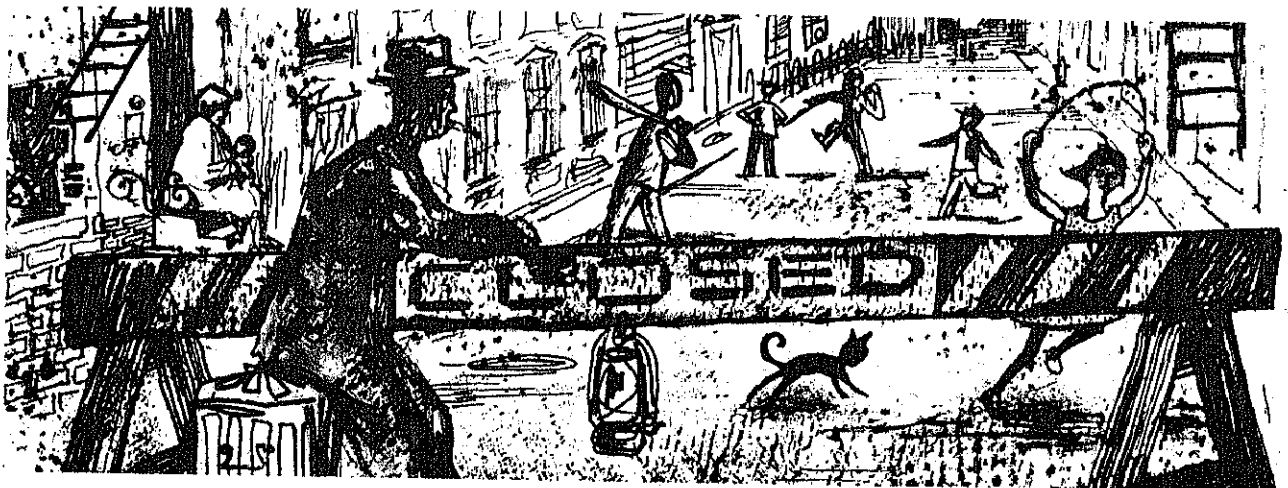
### Page 2, SECTION II, Salaries and Wages.

**Item 7, Paid Personnel, Column (1).** Enter the number of persons to be employed in the position listed in Column (2).

**Column (2).** List separately each paid **position**, whether employed by the CAA or a delegate agency. List paid professional positions first, then paid non-professionals. Use as many sheets of the CAP 25, Page 2, as are necessary to list all positions in the program account.

For purposes of completing this form a **position** should be considered to be any job title or category in which every employee is paid at the same annual salary rate, works the same number of months, and works the same percentage of time. For example, the following four groups of clerk-typists, all doing the same kind of work, should be considered as **four different positions**, and therefore listed separately: clerk-typist, @ \$4,500/year, working 12 months at 100% time; clerk-typist @ \$5,000/year, working 12 months at 100% time; clerk-typists @ \$5,000/year, working 6 months at 100% time; and clerk-typists @ \$5,000/year, working 6 months at 50% time.

**Column (3).** Enter the annualized salary rate at which the employee(s) will be paid. This rate represents the salary an individual working full-time (approximately 8 hours per day, 5 days per week), 12 months per year, would be paid. Be certain that the rate shown is the rate for the actual or probable employee(s) and not necessarily the maximum, minimum, or average rate for the **position**. For example, the salary range for the position of neighborhood aide might be \$4,000-\$5,000. If all likely employees will be new and will be hired at the starting level of \$4,000, the salary rate to be entered in Column (3) will be only \$4,000. If all employees have been employed for several years and are thus being paid salaries of \$4,800, the salary rate in Column (3) would be \$4,800. However, if two employees will be paid \$4,000 and two will be paid \$4,800, the two salary levels should be listed separately, and not combined into one listing at the average salary of \$4,400.





## CAP 25 . . .

**Column (4).** Enter the number of months during which the employees will be working. It doesn't matter whether or not the employees in the position will be working during the same months, as long as they will be working during the same number of months. If the latter is not the case, then they should be listed separately [see instructions for Column (2) above].

**Column (5).** Enter the percentage of time that the employees will be working during any month in which they are employed. For purposes of computing percentage of time, an 8-hour day, 5 day week, should be considered 100% of time. If the percentage of time worked will vary from one month to another, enter the average for all months worked. However, if the average percentage of time varies from one employee in the position to another than they should be listed separately [see instructions for Column (2) above].

**Columns (6) and (7).** Enter in Columns (6) and (7), respectively, the Federal and non-Federal share of the total actual salaries to be paid to the employees in the position in Column (2). The figure in Column (6) is computed by multiplying the number of persons in Column (1) to be paid from Federal funds by the annualized salary in Column (3), by the number of months in Column (4) divided by 12, by the percentage of time in Column (5).

For example: If three teachers paid from Federal funds at the annualized rate of \$6,000 per year, work 9 months at 50% time, the Federal share requested in Column (6) would be: \$6,750

$$(3 \times \$6,000 \times \frac{9}{12} \times .50).$$

The figure in Column (7) is computed in the same manner, by multiplying the number of persons in Column (1) to be paid from non-Federal cash or in-kind contributions by the annualized salary in Column (3). . . . etc. However, in no event may any one individual in Column (1) be paid from both Federal and non-Federal funds.

**Totals, Paid Professional Personnel.** Enter in Column (1) the total number of persons in paid professional positions listed in the column. Enter in Columns (6) and (7), respectively, the total Federal and non-Federal share for the salaries of the paid professionals listed in the columns. If additional pages are used, use this line as a page total on each page and as a grant total on the final page.

**Totals, Paid Non-Professional Personnel.** Enter in Column (1) the total number of persons in paid non-professional positions listed in the col-

umn. Enter in Columns (6) and (7), respectively, the total Federal and non-Federal share for the salaries of the paid non-professionals listed in the columns. If additional pages are used, use this line as a page total on each page and as a grand total on the final page.

**TOTALS, PAID PERSONNEL.** Enter in Columns (1), (6), and (7), respectively, the totals of the two preceding lines, Totals, Paid Professional Personnel and Totals, Paid Non-Professional Personnel. If additional pages are used, use this line as a page total on each page and as a grand total on the final page. The grand total for Column (6) should equal the figure in Column (6) on page 1 of the CAP 25 for Cost Category 1.1, Salaries and Wages. The sum of the grand total for Column (7) and the grand total for Column (11), TOTALS, VOLUNTEERS, (as explained below) should equal the figure in Column (7) on Page 1 of the CAP 25 for Cost Category 1.1.

### Item 8, Volunteers.

**Column (8).** Enter in Column (8) each category of volunteer services in the program account. List those categories with the highest wage rates first and with the lowest wage rates last. The title of the category should indicate the general nature of the services to be performed. Even if the services of two or more categories of volunteers are valued at the same hourly rate list them separately if the nature of their services is essentially different. Use as many sheets of the CAP 25, page 2, as are necessary to list all categories of volunteers in the program account.

**Column (9).** Enter the hourly wage rate at which the services of the volunteer category in Column (8) are valued.

**Column (10).** Enter the total number of hours all volunteers in the category in Column (8) will serve, regardless of whether or not every volunteer in the category will serve the same number of hours.

**Column (11).** Enter the total non-Federal share for the services provided by each category of volunteer. his figure is computed by multiplying the hourly wage rate in Column (9) by the total number of hours served in Column (10). Round to the nearest whole dollar.

**TOTALS, VOLUNTEERS.** Enter in Columns (10) and (11) the totals of the preceding lines. If additional pages are used, use this line as a page total on each continuation page and as a grand total on the initial page. The sum of the grand total for Column (11) and Column (7), as explained above, should equal the figure in Column (7) on Page 1 of the CAP 25 for Cost Category 1.1.

## **Comprehensive Health Services: Additional Budget Instructions, CAP Form 25**

This form is to be completed by the agency responsible for administering the comprehensive health services program account. The executive director and the administering board (if any) of the CAA review and the governing board or governing officials approve the form before the application is submitted by the CAA.

### **Page 1:**

**Column (6)—Federal Share:** The Federal share shall include only funds requested from OEO.

**Column (7)—Non-Federal Share:** The non-Federal share shall include only State and local funds.

**Other Federal Funds:** Other Federal funds to be received by the program (including reimbursements from Titles 18 and 19) are to be listed on a separate page. These funds should be identified separately by source, e.g. Title 18, Title 19, Private Insurance, Children and Youth Grant.

### **Page 2:**

**Column (2)—Title and Position:** Include only those positions to be paid from OEO funds and non-Federal share. Attach a sheet listing each position title, name of incumbent in parenthesis;

if the position is vacant, indicate in parenthesis, e.g. Pediatrician (Vacant). Follow the categories on Page 2 of CAP Form 25 in the same order when listing each position title and incumbent's name.

**Column (3)—Annualized Salary:** When there is a salary range for a vacant position, use the lowest figure.

**Biographical Sketches:** Biographical sketches of key staff members should be attached.

**Salaries:** OEO policies with respect to salary levels should be reviewed.

**Other Federal Funds:** Positions to be paid from other Federal funds should be listed on a separate page in the same format as described above for page 2 of the CAP 25. These positions should be identified separately by source of funds.

## **Upward Bound Additional Budget Instructions, CAP Form 25**

**Page 1, Columns (5)–(7).** Include in these columns in Cost Category 2.5, Other Costs, all indirect costs requested for the program account.

**Page 2, Columns (1), (2).** For both the summer and the academic year list separately those faculty who are coming from the sponsoring institution and those faculty who are coming from high schools. After those coming from the sponsoring institution, place an asterisk; after those coming from high schools, place two asterisks.





# Instructions: Program Account Budget Support Sheet, CAP Form 25a

The CAP 25a is used to itemize and provide the basis for valuation of the budget costs summarized on the CAP 25, Program Account Budget. The CAP 25a is also intended for use by the applicant as a work sheet for preparing the funding request. Even in those instances where the CAP 25a submitted with the funding request does not itemize all costs, it is assumed that such an itemization will be available for review by the field representative during the on-site field prereview or subsequent field visits.

Each applicant will be instructed during the field prereview by the appropriate OEO Regional or Headquarters Office as to which costs it must itemize. However, as a minimum, the CAP 25a must be submitted as follows:

1. **By New Applicants.** To itemize all Federal and non-Federal share in every program account.

2. **By Presently Funded OEO Grantees.** To itemize (a) non-Federal share in every program account; (b) all Federal share in program accounts not previously funded to the grantee by OEO; and (c) major new Federal costs in program accounts previously funded to the grantee by OEO. In addition, OEO may, on a selective basis, require presently funded OEO grantees to itemize and provide additional narrative justification for Federal share not included in "b" and "c" above, if the grantee has had previous audit problems or discrepancies in its fiscal operations or the budget contains unusual costs.

One CAP 25a must be submitted for each program account in the funding request except in the rare instance where a previously funded program account will not provide any non-Federal share and none of the circumstances outlined above apply. Use as many sheets of the form as are needed to itemize all appropriate costs.

The following instructions relate to specific items on the CAP 25a:

**Items 1-5.** These items are identical to the corresponding items on the CAP 25.

**Item 6, Column (1).** Enter the appropriate cost category number of the cost to be itemized from Column (1), Page 1, of the corresponding CAP 25. For example: enter 1.2 for "Fringe Benefits" or 2.5 for "Other Costs". List cost categories in the same order as they appear on the CAP 25.

**Column (2).** Describe the item in sufficient detail to insure that it is adequately identified and indicate the basis for determining or computing

its value. For example: "Office space rental for three professionals and two non-professionals: 200 sq. ft. at \$2.50 per sq. ft., including utilities and janitorial services."

Cost Category 1.1, Salaries and Wages, Federal share need not be itemized nor the basis for evaluation provided since this is already done on Page 2 of the CAP 25. For non-Federal costs in this cost category simply identify the cost and provide the information required in (a)-(c) below.

For non-Federal share items, the description and basis for valuation must also indicate (a) whether the non-Federal share is **cash** or **in-kind**; (b) the name of the contributing individual (except in the case of volunteers) or organization; and (c) the conditions, if any, attached to the contributions.

If both Federal funds are requested and non-Federal share proposed for the same item, the description and basis for valuation must clearly distinguish between the portions of the item to be supported by Federal funds and the portions by non-Federal share. However, in no event may the same individual be paid from both Federal and non-Federal funds.

If all Federal share in the program account is not itemized (see circumstances above), enter in this column, directly above the "Totals Carried Forward" line on the last sheet of the CAP 25a, the following: "Federal Share Not Itemized".

**Columns (3), (4).** Enter in either Column (3) or Column (4), as appropriate, the amount or value of the items described in Column (2). If both Federal funds are requested and non-Federal share proposed for a single item, then enter the appropriate amounts in each column. If all Federal costs are not itemized, enter in Column (3), directly above the "Totals Carried Forward" line on the last sheet of the CAP 25a, the amount for "Federal Share Not Itemized". This should equal the difference between the Federal share on the CAP 25 and the Federal share itemized on the CAP 25a.

**Totals Carried Forward.** If additional pages of the CAP 25a are used, leave this line blank on the continuation pages and enter in this line on the first page the combined totals from the continuation pages.

**Totals.** Use this line as a page total on each continuation page and as a grand total on the initial page. The totals in Columns (3) and (4)



## **CAP 25a . . .**

should equal the TOTAL COSTS requested in Columns (6) and (7), respectively, of Page 1 of the CAP 25.

**Item 7.** If OEO has instructed the applicant to submit additional narrative justification of certain costs, attach the narrative statement to the CAP 25a and check the box provided.

### **Comprehensive Health Services Supplementary Instructions for Completing Program Account Budget Support Sheet, CAP Form 25a**

This form is to be completed by the agency responsible for administering the comprehensive health services program account. If the CAA is the applicant, the executive director and administering board (if any) of the CAA review and the governing board or governing officials approve the form.

A functional budget should be attached to the

CAP Form 25a, with costs estimated for the following functional areas:

- (a) medical care
- (b) mental health
- (c) dental care
- (d) social services, including health education and nutrition
- (e) community organization including outreach and advisory council
- (f) training
- (g) research and evaluation
- (h) administration
- (i) indirect costs, if applicable
- (j) renovation and construction.

### **Upward Bound Supplementary Instructions for Completing Program Account Budget Support Sheet, CAP Form 25a**

In itemizing costs for Cost Category 2.5, Other Costs, show separately the amount requested for indirect costs, indicating the percentage and the base upon which such costs are computed.

**PARTICIPANTS/EXPENDITURES PLAN** (Please type or print clearly)

5. THIS PLAN SUBMITTED AS PART OF

FUNDING DATA		
a. <input type="checkbox"/> FUNDING REQUEST	b. <input type="checkbox"/> AMENDMENT REQUEST	c. <input type="checkbox"/> PLAN ADJUSTMENT FOLLOWING OEO GRANT ACTION

CAP FORM 83 AUG 68



# Instructions: Participants Expenditures Plan, CAP 83

The CAP Form 83 is used by the applicant agency to estimate planned participant and Federal expenditure data for each **program account** for which funding is requested. Participant data is also provided for each **program activity** within each program account. All data is estimated by program year quarter within the requested program year. In addition, participant data is estimated on an annual basis for the two program years following the requested program year. The CAP 83 constitutes a plan against which the applicant will report actual results in its quarterly MIS report.

The CAP 83 must be submitted with every funding request. Following grant approval by OEO a revised CAP 83 may have to be resubmitted if significant budget or work program changes are made by OEO. When revision is required it will be so indicated on CAP Form 25c included with a grant action.

The following instructions relate to specific items on the CAP 83:

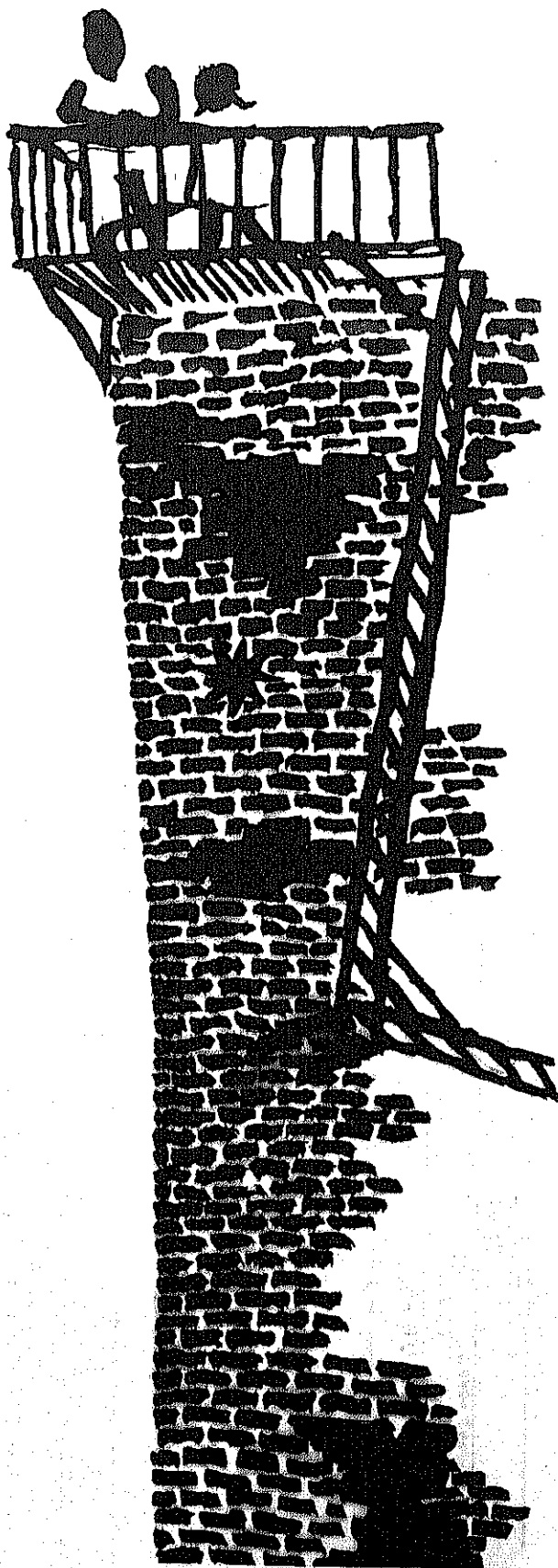
**Items 1-4.** These items are identical to Items 1-4 on the Summary of Applications, CAP Form 1, in the funding request.

**Item 5.** Check either "a" or "c", as appropriate.

**Column (1).** Enter the number of each program account for which funding is requested and, under each program account number, enter a dash (—) for each appropriate program activity that will be listed in column (2) for that program account. Use as many pages of the CAP 83 as necessary to list all appropriate program accounts and program activities. (Refer to Appendix E for a listing and definitions of all program accounts and program activities.) If, for example, a program account contains three program activities, but the applicant is requesting funds for only two activities, list a dash for only those two activities.

**Column (2).** Enter the name of the program account or program activity which corresponds to the number or dash in Column (1). Start program account names at the left-hand margin of the column. Indent program activity names three spaces in from the margin under the appropriate program account name.

**Columns (3)-(6).** For each program account and for each program activity, enter the estimated **unduplicated** number of planned participants in each quarter of the program (**not** calendar) year. A **participant** is an individual who **himself** either participates in the primary program ac-



## CAP 83 . . .

tivity or is a recipient of the primary service. Do not include members of his family, even if they are aided secondarily or indirectly, unless they themselves directly participate in the primary program activity or directly receive the primary service.

An **unduplicated** number of participants means that no single individual should be counted more than once even if he participates in a program activity more than once during a quarter. For example, four persons participating once each in the Job Placement program activity are counted as **four** participants, but one person participating four times in Job Placement is counted as **only one** participant. However, the unduplicated count should start anew each quarter. For example, if a single individual participates one or more times in **each** of three quarters of the program year he should be counted as one participant in **each** of those three quarters.

Similarly, the number of participants in each program account in each quarter should be an unduplicated count of participants in its program activities. In many instances, the unduplicated number of participants in a program account is smaller than a straight total of the participants in each of its program activities. An individual very likely may be a participant in two or more different activities within a single program account. For example, in Program Account 13, one individual may participate in both Pre-Vocational training and Vocational training in the same quarter. While he should be counted as a participant in **each** of the two program activities, he should be counted as **only one** participant in Program Account 13. Applicants should, therefore, not necessarily assume that program account quarterly figures are derived by simply totaling the appropriate program activity figures.

**Column (7).** For each program account and for

each program activity, enter the estimated **unduplicated** total number of participants for the entire program year. This is **not** necessarily a simple total of the four quarterly figures. An individual participant in one quarter may also be a participant in one or more other quarters but should be counted as only one participant for the year. In many instances, the program year totals will therefore be smaller than a straight total of the four quarterly figures, particularly for those program activities and program accounts where a participant participates continuously over a period of several months to a year.

Again, the program year total for a program account should be an **unduplicated** total, **not** necessarily a straight total of the program year totals for its various program activities.

**Columns (8)-(10).** Enter for each program account **only** (not for each program activity) the estimated number of participants, respectively, in a full-year program, in an expanded program in the program year following the requested program year, and in an expanded program in the second program year following the requested program year. The participant data entered in these columns should reflect the budget data entered in Columns (9), (11), and (13) of the corresponding CAP 25's. See "Instructions for Completing Program Account Budget, CAP Form 25, for Funding Requests," Page — for a full discussion of "full-year" and "expanded" programs.

**Columns (11)-(14).** Entries in these columns are made only for program account lines. No entry is made for a program activity line. Enter the estimated **Federal expenditures** (not obligations) during each **program** (not calendar) year quarter. (See Appendix D, Glossary, for a definition of expenditures.)

The total of the four quarterly expenditure figures in Columns (11)-(14) for each program account should equal the Federal share [Total costs, col. (6)] requested for the program account on the corresponding CAP 25.



<b>OFFICE OF ECONOMIC OPPORTUNITY - APPLICATION FOR COMMUNITY ACTION PROGRAM</b> <b>PARTICIPANT CHARACTERISTICS PLAN</b> <i>(Please type or print clearly.)</i>		PAGE _____ OF _____ PAGES
1. APPLICANT AGENCY _____	2. DATE SUBMITTED _____	3. PROGRAM YEAR _____ END DATE: _____
4. GRANT NO. _____		Form Approved, Budget Bureau No. 116-R0151

5. THIS PLAN SUBMITTED AS PART OF: ☐ FUNDING REQUEST ☐ AMENDMENT REQUEST ☐ PLAN ADJUSTMENT FOLLOWING OEO GRANT ACTION

PARTICIPANT CHARACTERISTICS	P.A. NO. _____ NAME: _____		P.A. NO. _____ NAME: _____		P.A. NO. _____ NAME: _____		P.A. NO. _____ NAME: _____		P.A. NO. _____ NAME: _____		P.A. NO. _____ NAME: _____	
	NUMBER (2)	% (3)	NUMBER (4)	% (5)	NUMBER (6)	% (7)	NUMBER (8)	% (9)	NUMBER (10)	% (11)	NUMBER (12)	% (13)
<b>1. TOTAL PARTICIPANTS</b>		100%		100%		100%		100%		100%		100%
<b>a. AGE RANGE</b>												
(1) 0-5												
(2) 6-15												
(3) 16-21												
(4) 22-44												
(5) 45-54												
(6) 55-64												
(7) 65 AND OVER												
<b>b. FAMILY INCOME</b>												
(1) ABOVE POVERTY LINE												
(2) BELOW POVERTY LINE												
(a) \$1-499 BELOW												
(b) \$500-1,499 BELOW												
(c) \$1,500 OR MORE BELOW												
<b>c. SEX</b>												
(1) MALE												
(2) FEMALE												
<b>d. RACIAL/ETHNIC GROUPS</b>												
(1) CAUCASIAN												
(2) MEXICAN-AMERICAN												
(3) PUERTO RICAN												
(4) OTHER CAUCASIAN												
(5) NEGRO												
(6) AMERICAN INDIAN												
(7) ORIENTAL												
(8) OTHER												
<b>2. PARTICIPANTS IN FAMILIES RECEIVING WELFARE PAYMENTS</b>												
<b>3. PARTICIPANTS WHO ARE HEADS OF HOUSEHOLDS</b>												

# Instructions: Participant Characteristics Plan, CAP 84

The CAP Form 84 is used by the applicant agency to estimate quantitative data on the characteristics of the planned participants in each program account for which funding is requested. Participant characteristics include age, family income, sex, racial/ethnic groups, membership in families receiving welfare payments, and status as heads of households. The CAP 84 constitutes a plan against which the applicant will report actual results in its quarterly MIS reports.

The CAP 84 must be submitted with every funding request. Following OEO grant approval, a revised CAP 84 may have to be resubmitted if significant budget or work program changes are made by OEO. When a revision is required, it will be so indicated on the CAP Form 25c included with a grant action.

The following instructions relate to specific items on the CAP 84:

**Items 1-4.** These items are identical to Items 1-4 on the CAP 1, Summary of Application, CAP Form 1, in the funding request.

**Item 5.** Check either "a" or "c", as appropriate.

**Column (1).** In this column are preprinted the various participant characteristics, as they appear in the MIS participant characteristics report, for which planned figures are required.

**Columns (2)-(13).** Enter above each pair of columns the number and name of the program accounts for which funding is requested. Use as many sheets of the CAP 84 as necessary to list all program accounts to be funded.

**Columns (2), (4), (6), (8), (10), (12).**

**Line 1.** Enter the total number of planned participants in the program account for the requested program year. This figure is the **unduplicated** program year total which appears for the specified program account number in Column (7) of the CAP 83, "Participants/Expenditures Plan", submitted in the funding request.

**Lines 1.a.-1.d.** Enter the number of planned participants in each of these categories. The respective totals for categories 1.a., 1.b., 1.c., and 1.d. should each equal the "Total Participants" figure in Line 1.

**Lines 2 and 3.** Enter the number of planned participants in each of these categories. The figures in each of these lines will generally be smaller than the "Total Participants" figure in Line 1, unless every participant in the program account will be a member of a family receiving welfare payments or the head of a household.

**Columns (3), (5), (7), (9), (11), (13).** Enter for each participant characteristic the percentage of the total number of planned participants in Line 1 who fall in that category. In all cases the percentage is derived by dividing the number of planned participants in the appropriate participant characteristic category by the "Total Participants" figure in Line 1.

**Lines 1.a.-1.d.** The respective totals for categories 1.a., 1.b., 1.c., and 1.d. should each equal 100%.

Form Approved  
Budget Bureau No. 116-101-10

Budget Bureau No. 116-R0148

4. GRANT NO.

# 5

GRANT ACTION

[illegible]



## V. AMENDMENTS

Any change in a program account during the program year for which the program account has already been funded is an **amendment**. There are essentially six kinds of amendments, two or more of which frequently occur together:

1. Changes in the funding levels of the agencies administering a program account.

2. Changes in the work program of a program account.

3. Changes in the salaries and positions in a program account.

4. Other budget changes within a program account.

5. Changes in either the Federal or non-Federal share of a program account. This may involve transfers between two or more program accounts, may result in an increase or decrease in a grantee's level of approved program, and may result in a supplemental grant action or a reduction of funds.

6. Changes in the carry-over funds assigned and in the new obligational authority approved for a program account. This form of amendment affects only the manner in which a program account is funded, not its budget or work program, and is always initiated by OEO. It may result in a supplemental grant action or reduction of funds.

Grantees may **not** change either the Federal or non-Federal share of any program account without prior written approval by OEO. In addition, grantees may **not** make any changes which would increase current or future full-year costs of any program account without prior written OEO approval.

Grantees may make other changes without obtaining prior OEO approval, subject to the following limitations:

1. **Changes in administering agency funding levels.** In executing contracts with a delegate agency or in subsequently modifying such contracts, a grantee may change the agency's total funding level from that estimated on the Adminis-

tering Agency Funding Estimate, CAP Form 85, submitted to OEO, provided that the sum of such changes does not exceed 25% of the delegate agency's total funding level (Federal and non-Federal share) estimated on the CAP 85 or \$150,000, whichever is less. Changes exceeding 25% or \$150,000 must have prior written OEO approval.

2. **Changes in work programs.** A grantee may change the work program if the changes do not (a) affect program account funding level, (b) constitute a basic change in objectives, strategy, implementation plan or activities of the program account, and (c) increase or decrease by more than 25% the number of participants, trainees, or enrollees in a program activity, as estimated on the Participants/Expenditures Plan, CAP Form 83, submitted to OEO. All other work program changes must be approved in writing by OEO.

3. **Changes in salary and positions.** A grantee may change salaries or the number of staff positions, or create new positions without OEO approval provided that such changes (a) do not exceed wage comparability standards; (b) are in accordance with OEO and grantee personnel policies; (c) do not result in work program changes for which OEO approval is required, as outlined in 2 above; and (d) OEO has not previously notified the grantee in writing that such a position may not be established. Written OEO approval must be obtained for all other changes in salaries and positions.

4. **Other budget changes within a program account.** A grantee may switch funds without OEO approval within the personnel or non-personnel cost categories of a program account during a program year if (a) stipend funds are not reduced; (b) level of expenditures does not change the length of time the program will operate; and (c) program objectives are not adversely affected.

A grantee may switch funds between the personnel and non-personnel cost categories without OEO approval within the limits of Table I.



# Instructions: Administering Agency Funding Estimate, CAP Form 85

The CAP 85 is used by the applicant agency to list the agencies which will administer its program accounts during the program year, to estimate the Federal and non-Federal funds to be administered by each, and to estimate how the funds administered by each agency are divided by program account. An "administering agency" is either the applicant agency itself or a delegate agency.

A CAP 85 must be submitted with every funding request. Following grant approval OEO may require the applicant to submit a revised CAP 85, reflecting any budget changes made by OEO. When a revision is required it will be so indicated on the CAP Form 25c included with a grant action.

Use as many sheets of the CAP 85 as are necessary to list the agencies administering program accounts in the funding request. The following instructions relate to specific items on the CAP 85:

**Items 1-4.** These items are identical to Items 1-4 on the Summary of Application, CAP Form 1, in the funding request.

**Item 5.** Check either "a" or "c", as appropriate.

**Column (1).** List the agency or agencies who will administer the program accounts in the funding request **during the program year for which funds are requested.** Do not list agencies who have administered these program accounts in the past unless they will also administer them in the requested program year. Always list the applicant agency first if it is administering one or more of the program accounts in the funding request.

**Columns (2), (3).** Leave these columns blank for the applicant agency. For delegate agencies, check Column (2) if a CAP Form 87, Delegate Agency Basic Information Form, has been previously submitted for the requested program year. If a CAP 87 has not been submitted attach the CAP 87 to the CAP 85 and check Column (3).

**Columns (4), (5).** If the administering agency also administered OEO-funded programs in the prior program year (i.e., the program year preceding the requested program year), enter in Columns (4) and (5), respectively, the total estimated Federal and non-Federal Share administered by that agency during the prior program year. Leave these columns blank if the administering agency

administered no OEO-Federal or non-Federal share in the prior program year.

**Columns (6), (7).** Enter in Columns (6) and (7), the total Federal and non-Federal share to be administered by the CAA and each delegate agency in the requested program year. These totals should include not only program accounts in the funding request but also any program accounts approved for the requested program year in previous grant actions. If an administering agency administers program accounts previously approved for the requested program year the appropriate page (5) of the CAP 85 submitted with the earlier funding request is revised to indicate the combined total of both the approved and requested grant actions.

For example: An applicant submits a funding request for \$100,000 Federal funds, \$40,000 of which is to be administered by Agency A and \$60,000 by Agency B, and Agency A also administers \$30,000 in Federal funds previously approved for the requested program year. The applicant should submit one CAP 85 covering the \$60,000 to be administered by Agency B, and a revision of the appropriate page or pages in the previously submitted CAP 85 to indicate that Agency A will administer a total of \$70,000 (\$30,000 + \$40,000). The revised page(s) should indicate, in Item 2, the date of the revision.

**Column (8).** List in this column, one program account number per line, the number of each program account which the administering agency will administer in whole or in part.

**Columns (9), (10).** Enter in Columns (9) and (10), the estimated Federal and non-Federal share for that portion of the program account each agency administers. In some instances a single agency may administer the entire program account, in which case the **total** Federal and non-Federal share for the program account should be entered here. In other instances two or more agencies will administer the same program account, in which case only the appropriate **portion** of the program account totals should be entered for each administering agency. The totals of Columns (9) and (10) should equal the figures for that agency in Columns (6) and (7).





## V. AMENDMENTS

Any change in a program account during the program year for which the program account has already been funded is an **amendment**. There are essentially six kinds of amendments, two or more of which frequently occur together:

1. Changes in the funding levels of the agencies administering a program account.

2. Changes in the work program of a program account.

3. Changes in the salaries and positions in a program account.

4. Other budget changes within a program account.

5. Changes in either the Federal or non-Federal share of a program account. This may involve transfers between two or more program accounts, may result in an increase or decrease in a grantee's level of approved program, and may result in a supplemental grant action or a reduction of funds.

6. Changes in the carry-over funds assigned and in the new obligational authority approved for a program account. This form of amendment affects only the manner in which a program account is funded, not its budget or work program, and is always initiated by OEO. It may result in a supplemental grant action or reduction of funds.

Grantees may **not** change either the **Federal or non-Federal share of any program account** without prior written approval by OEO. In addition, grantees may **not** make any changes which would increase current or future full-year costs of any program account without prior written OEO approval.

Grantees may make other changes without obtaining prior OEO approval, subject to the following limitations:

1. **Changes in administering agency funding levels.** In executing contracts with a delegate agency or in subsequently modifying such contracts, a grantee may change the agency's total funding level from that estimated on the Adminis-

tering Agency Funding Estimate, CAP Form 85, submitted to OEO, **provided that** the sum of such changes does not exceed 25% of the delegate agency's total funding level (Federal and non-Federal share) estimated on the CAP 85 or \$150,000, whichever is less. Changes exceeding 25% or \$150,000 must have prior written OEO approval.

2. **Changes in work programs.** A grantee may change the work program if the changes do not (a) affect program account funding level, (b) constitute a basic change in objectives, strategy, implementation plan or activities of the program account, and (c) increase or decrease by more than 25% the number of participants, trainees, or enrollees in a program activity, as estimated on the Participants/Expenditures Plan, CAP Form 88, submitted to OEO. All other work program changes must be approved in writing by OEO.

3. **Changes in salary and positions.** A grantee may change salaries or the number of staff positions, or create new positions without OEO approval **provided that** such changes (a) do not exceed wage comparability standards; (b) are in accordance with OEO and grantee personnel policies; (c) do not result in work program changes for which OEO approval is required, as outlined in 2 above; and (d) OEO has not previously notified the grantee in writing that such a position may not be established. Written OEO approval must be obtained for all other changes in salaries and positions.

4. **Other budget changes within a program account.** A grantee may switch funds without OEO approval **within** the personnel or non-personnel cost categories of a program account during a program year if (a) stipend funds are not reduced; (b) level of expenditures does not change the length of time the program will operate; and (c) program objectives are not adversely affected.

A grantee may switch funds **between** the personnel and non-personnel cost categories without OEO approval within the limits of Table I.

TABLE I

## *Initial Flexibility Between Cost Categories Within a Program Account*

Program account total dollar amount (Federal and non-Federal share)	Limit of flexibility	Dollar amount transferred not to exceed (Federal and non-Federal share)
\$0-\$100,000-----	30% of nonpersonnel costs*-----	\$7,500
Over \$100,000-\$500,000-----	25% of nonpersonnel costs*-----	30,000
Over \$500,000-\$1,500,000-----	20% of nonpersonnel costs*-----	67,500
Over \$1,500,000-----	15% of nonpersonnel costs*-----	150,000

\*Less stipend funds, if any.

Budget changes exceeding allowable flexibility must be approved in writing by OEO.

Following written OEO approval of budget changes exceeding the flexibility limits in Table I,

the grantee may again switch funds between personnel and nonpersonnel costs without OEO approval within the limits of Table II.

TABLE II

## *Subsequent Flexibility Between Cost Categories Within a Program Account*

Program account total dollar amount (Federal and non-Federal share)	Limit of flexibility	Dollar amount transferred not to exceed (Federal and non-Federal share)
\$0-\$100,000-----	30%+4 (7.5%) of nonpersonnel costs*-----	\$2,000
Over \$100,000-\$500,000-----	25%+4 (6.25%) of nonpersonnel costs*-----	7,500
Over \$500,000-\$1,500,000-----	20%+4 (5%) of nonpersonnel costs*-----	17,000
Over \$1,500,000-----	15%+4 (3.75%) of nonpersonnel costs*-----	37,500

\*Less stipend funds, if any.

## Amendment Forms

A separate amendment request should be prepared for each grant number under which amendments exceeding the grantee's flexibility are requested. If, for example, the grantee has received OEO funds under four different basic grant numbers and wishes to amend program accounts under each of these grant numbers, it should complete four separate amendment requests.

If an amendment request results in a **funding** request as well, as when the grantee wishes to transfer funds from one or more funded program accounts to one or more program accounts not yet funded for the program year, the amendment request should cover only those funded program accounts to be amended; a separate funding request should be prepared for the program accounts not yet funded for the program year.

Four copies of all requests for amendments exceeding grantee flexibility should be submitted at least 45 days before the proposed effective date of the amendment. Submit amendment requests for

all program accounts except Comprehensive Health and Upward Bound to the appropriate OEO Regional Office or, in the case of Indian, Migrant, and Territories programs, to the Office of Special Field Programs.

Submit amendment requests for Comprehensive Health program accounts to the Health Services Office. Submit amendment requests for Upward Bound program accounts to Upward Bound Program Office.

The forms required to request an amendment vary with the nature of the amendment. The chart below indicates which forms are required under various categories of amendments. A Justification for Program Account Amendment, CAP Form 25b, is required for all amendments. A Program Account Budget, CAP Form 25, is required for amendments involving budget changes. Other forms are required only as appropriate.

OEO **disapproval** of any amendment will be indicated on the bottom of the CAP 25b, which

### FORMS REQUIRED TO REQUEST AMENDMENTS EXCEEDING GRANTEE FLEXIBILITY

CAP form	Changes in administering agency funding levels	Changes in work programs	Budget changes within a program account	Changes in either the Federal or non-Federal share of one or more program accounts
CAP 1, "Summary of Application"	No.....	No.....	No.....	Yes.
CAP 25, "Program Account Budget" (one for each program account for which amendment is requested).	No.....	No.....	Yes.....	Yes.
CAP 25a, "Program Account Budget Support Sheet" (one for each program account for which amendment is requested).	No.....	No.....	Optional.....	Optional.
CAP 25b, "Justification for Program Account Amendment" (one for each program account for which amendment is requested).	Yes.....	Yes.....	Yes.....	Yes.
CAP 83, "Participants/Expenditures Plan".	Only if changed by amendment.	Only if changed by amendment.	Only if changed by amendment.	Generally,* yes.
CAP 84, "Participant Characteristics Plan".	Only if changed by amendment.	Only if changed by amendment.	Only if changed by amendment.	Generally,** yes.
CAP 85, "Administering Agency Funding Estimate".	Yes.....	Only if changed by amendment.	Only if changed by amendment.	Yes.

\*If the amendment changes *neither* Federal share nor the number of participants the form is not required.

\*\*If the amendment changes *neither* the number nor characteristics of participants the form is not required.

## *Amendment Forms . . .*

will be returned to the grantee within 30 days of receipt of the amendment request.

OEO approval of amendments which do not change the Federal share, non-Federal share, total personnel costs, or total non-personnel costs of a program account will be indicated on the bottom of the CAP 25b, which will be returned to the grantee within 30 days of receipt of the amendment request. In all other cases, OEO approval will result in a grant action which will be indicated on a Statement of CAP Grant, CAP Form

14, and on an Approved Program for Amended Program Accounts, CAP Form 14a (see the "Grant Package" section of this manual).

All amendments which result in a grant action on a CAP 14 and CAP 14a will be treated as any other grant action, even if the grantee's level of approved program does not change, as when there is only a shift of funds between program accounts or between cost categories within program accounts. The grantee's acceptance of the grant action is indicated by its signing and returning a copy of the CAP 14 to OEO (see "Grant Package").

OFFICE OF ECONOMIC OPPORTUNITY - APPLICATION FOR COMMUNITY ACTION PROGRAM  
SUMMARY OF APPLICATION

Form Approved  
Budget Bureau N

## SECTION I.

**APPLICANT INFORMATION**

(For OEO Use) DATE RECEIVED

**1. APPLICANT AGENCY**

PROGRAM YEAR

END DATE:

4. GRANT NO.

**5. STREET ADDRESS**

**6. CITY**

7

7. STATE	8. ZIP
----------	--------

**EXECUTIVE DIRECTOR**

**10. TELEPHONE (Include Area Code)**

**SECTION II.**

[illegible]

**CERTIFICATION**

11. THIS APPLICATION HAS BEEN (Check "a." or "b." as appropriate)

a. ☐ Approved by the applicant's governing board.

b. ☐ Reviewed by the applicant's administering board and approved by its governing officials.

A copy of this application has been forwarded to the State Governor's office. It is understood and agreed by the undersigned that any grant received as a result of this application will be subject to the general conditions governing CAP grants.

12. NAME AND TITLE OF PRINCIPAL GOVERNING OFFICIAL OR PRINCIPAL OFFICER OF GOVERNING BOARD

**13. SIGNATURE**



# Instructions: Amendment Request

## Summary of Application, CAP Form 1

The CAP Form 1 serves as a cover and summary sheet for amendment requests which involve changes in either the Federal or non-Federal share of any program account, and includes a certification by the appropriate official that the amendment request has been approved by the applicant's governing board or governing officials and (where appropriate) has been reviewed by the applicant's administering board.

The CAP 1 is not used for amendment requests which involve only:

- (1) budget changes, beyond grantee flexibility, within a program account;
- (2) work program changes, beyond grantee flexibility;
- (3) changes, beyond grantee flexibility, in administering agency funding levels.

The following instructions are related to specific items on the form. If no instruction is included, the item is considered self-explanatory.

### SECTION I. Applicant Information

**Item 3.** Insert the program year letter and end date for the current program year, i.e., the program year for which the program account to be amended was funded.

### SECTION II. Program Account Summary

This part has been designed to permit inclusion without change of budget information shown on each Program Account Budget, CAP Form 25, which is included in the amendment request.

**Columns (1)-(2).** List in numerical order the various program accounts for which amendments are requested. The number and name for each program account should be the same as indicated in Items 5.a and 5.b on the corresponding CAP 25. Use as many sheets of the CAP 1 as are neces-

sary to list all program accounts in the amendment request.

**Columns (3)-(4).** The program year letter designation to be inserted in the blank space above these columns should be the same as in Item 3 above.

**Columns (3)-(14).** These columns correspond exactly to Columns (3)-(14), on the CAP 25. Insert for each program account to be amended the figures, including plus (+) and minus (-) signs, appearing on the third from last line, "TOTAL COSTS," of the corresponding CAP 25.

**Totals From Attached Page.** Include here the combined totals from the bottom of any continuation page. If there is no continuation page, leave this line blank. All totals should be preceded by either a plus (+) or minus (-) sign, as appropriate.

**TOTALS.** Total the figures in Columns (3), (5)-(7), (9), (11) and (13). (1) Columns (4), (8), (10), (12) and (14) are not addable. (1) Use this line as a page total on any continuation page and as a grand total on the initial page. All totals should be preceded by either a plus (+) or minus (-) sign, as appropriate.

### SECTION III. Certification

**Item 11.** If the applicant agency is a designated public or private non-profit agency, check box "a". If the applicant agency is a political jurisdiction, check box "b".

**Items 12 and 13.** If the applicant agency is a designated public or private non-profit agency, the name and signature of the principal officer of its governing board should be entered. If the applicant is a political jurisdiction, the name and signature of its principal governing official should be entered.

OFFICE OF ECONOMIC OPPORTUNITY - APPLICATION FOR COMMUNITY ACTION PROGRAM  
PROGRAM ACCOUNT BUDGET (Please type or print clearly)Form Approved.  
Budget Bureau No. 116-R0158

1. APPLICANT AGENCY \_\_\_\_\_ 2. DATE SUBMITTED \_\_\_\_\_ 3. PROGRAM YEAR \_\_\_\_\_ 4. GRANT NO. \_\_\_\_\_

5. \_\_\_\_\_

6. SUBMITTED AS PART OF (check one):  
☐ FUNDING REQUEST ☐ AMENDMENT REQUEST (If this item is checked, attach CAP Form 25b, "Justification for Program Account Amendment".)

7. P.A. NO. \_\_\_\_\_ b. NAME \_\_\_\_\_ c. BEGINNING DATE \_\_\_\_\_ d. END DATE \_\_\_\_\_

## SECTION I. BUDGET SUMMARY

COST CATEGORY (1)	APPROVED PY TOTAL PROGRAM (3)	NO. (4)	REQUESTED PROGRAM YEAR			REQUESTED PROGRAM YEAR + 1		
			TOTAL PROGRAM (5)	FEDERAL SHARE (6)	NON-FEDERAL SHARE (7)	TOTAL PROGRAM (9)	FEDERAL SHARE (10)	NON-FEDERAL SHARE (11)
PERSONNEL COSTS								
1.1 SALARIES AND WAGES								
1.2 FRINGE BENEFITS (Employer's share only)								
1.3 CONSULTANTS AND CONTRACT SERVICES								
2. NONPERSONNEL COSTS								
2.1 TRAVEL								
2.2 SPACE COSTS AND RENTALS								
2.3 CONSUMABLE SUPPLIES								
2.4 RENTAL, LEASE, PURCHASE OF EQUIPMENT								
2.5 OTHER COSTS								
TOTAL COSTS								
FEDERAL SHARE								
NONFEDERAL SHARE								

**SALARIES AND WAGES** (Itemization of Cost Category No. 1.1)

CAP FORM 25 (REV. AUG 68)

# Instructions: Amendment Request Program Account Budget, CAP Form 25

The CAP Form 25 is used to summarize, by Federal and non-Federal share and by cost category, changes requested in the approved program account budget; to indicate the full-year cost of those budget changes; and to indicate the impact of those changes on the expanded program account budget estimates previously submitted by the grantee for the two succeeding program years.

The CAP 25 is used only to request certain amendments beyond grantee flexibility in the approved budget of a program account including:

(1) An increase or decrease in either the Federal or non-Federal share of any program account, including transfers between program accounts;

(2) Changes between the personnel and non-personnel cost categories of a program account which do not change either the Federal or non-Federal share.

The CAP 25 is not used for amendment requests beyond grantee flexibility which involve only:

(1) Changes in work program.

(2) Changes in administering agency funding levels.

(3) Changes in salaries and positions.

(4) Changes within either cost category.

A separate CAP 25 should be completed for each program account for which budget amendments are requested. The following instructions are related to specific items on the form. If no instruction is included, the item is considered self-explanatory.

**Page 1, Item 3.** Insert the program year letter and end date for the current program year, i.e., the program year for which the program account to be amended was funded.

**Item 5.** Insert the appropriate program account number, name, beginning date and end date. Unless the amendment involves a change in the program account operating period, all information in this item should be identical to that on the CAP 25 submitted as part of the program year funding request. If a change is requested in the operating period the requested dates should be preceded by the words "changed to".

**Item 6.** Check box "b" and attach the Justification for Program Account Amendment, CAP Form 25b.

## SECTION I. Budget Summary

**Columns (3)-(4).** The program year letter designation to be inserted in the blank space above

Columns (3)-(4) should be the same as in Item 3 above. For amendment requests the "approved program year" is the same program year as the "requested program year".

Insert under Column (3) the net amounts approved by OEO for the program year, reflecting all previous amendments, if any. Do not indicate changes made by the applicant within its flexibility. Where funds were approved on the old CAP Form 25 (dated February 1966) and CAP Form 48, in seven costs categories, the approved figure for the new Cost Category 1, PERSONNEL COSTS, should include all costs approved in the old Cost Categories 1 and 2, and the approved figure for the new Cost Category 2, NONPERSONNEL COSTS, should include all costs approved in the old Cost Categories 3-7.

Where funds were approved on new CAP Form 14 and CAP Form 14a, the approved figures may be taken directly from the following columns of the CAP 14 (if the program account had not been amended) or 14a (if the program account had been previously amended): PERSONNEL COSTS—Column (8); NONPERSONNEL COSTS—Column (9); TOTAL COSTS—Column (7); FEDERAL SHARE—Column (3); and NONFEDERAL SHARE—Column (6).

Column (4), to be completed only for TOTAL COSTS, should indicate the number of months which OEO approved for the program account to operate during the program year. This figure can be taken directly from the top line of the old CAP 25 or from Column (10) of the CAP 14.

**Columns (5)-(7).** Insert in these columns the amount of the increase or decrease (not the net revised amount) in Total Program, Federal Share, and Non-Federal Share, requested for PERSONNEL COSTS, NONPERSONNEL COSTS, and TOTAL COSTS. Do not break down the increases or decreases in Personnel and Nonpersonnel costs into sub-cost categories. Leave lines 1.1-1.3 and 2.1-2.5 blank.

Indicate increases with a plus (+) sign and decreases with a minus (-) sign. If there is no change requested in any approved amount indicate this by inserting a "0" in the appropriate space. Increases and decreases should be calculated from the net amount approved by OEO as indicated in Column (3). Such increases and decreases should include increases and decreases already made by the applicant within its flexibility. For example, if OEO flexibility permitted the appli-

## CAP 25 Amend . . .

cant to increase his Federal personnel costs by \$10,000 and he wished to increase such costs by an additional \$5,000 above the \$10,000 limit, the CAP 25 should indicate "+\$15,000" in Column (6).

The figure for each cost category and for TOTAL COSTS under Column (5) should equal the total of the corresponding figures under Columns (6) and (7). The TOTAL COSTS figures under Columns (6) and (7) should equal, respectively, the FEDERAL SHARE and NONFEDERAL SHARE figures under Column (5).

Column (8). This column, to be completed only for TOTAL COSTS, should indicate the requested increase (+) or decrease (-) in the number of months during which the program account will operate in the requested program year. If there is no change in the number of months enter a "0". The sum of this figure and the figure in Column (4) should equal the span between the dates indicated in Item 5.c and 5.d.

Column (9). This column should indicate the full-year cost of the increases or decreases (not the net revised amount) in the total program requested in Column (5). Indicate increases with a plus (+) sign, decreases with a minus (-) sign, and no change in full-year cost with a "0".

The full-year cost of the amendment requested should take into account both built-in increased costs, such as incremental salary increases, and reduced costs, as when one-time equipment outlays are not repeated in the subsequent program year. Similarly, the full-year cost should reflect both the phasing in and the phasing out during the requested program year and the following program year, of program operations. Accordingly, the full-year cost of the amendment may be higher, lower, or approximately the same as the increase or decrease requested.

Do not include in full-year costs increased program operations for which approval is not specifically requested in the Justification of Program Account Amendment, CAP Form 25b attached to the CAP 25, and which will not be at least partially underway by the end of the requested program year.

Column (10). This column, to be completed only for TOTAL COSTS, should indicate the increase or decrease in the number of months the program account will operate when fully operational. Generally this figure will be the same as the figure in Column (8). However, there may be instances where this figure is smaller (where the program will be phased out or funded by other sources) or

larger (where an amended operating period will not be fully phased in until the following program year).

Page 2, SECTION II, Salaries and Wages. Page 2 of the CAP 25 need be submitted only if the budget changes indicated on Page 1 entail changes in the salaries and wages of program account personnel or in the addition or deletion of positions. If the salary, positions, months or percent of time worked does not change, do not enter a plus (+) or minus (-) designation.

Item 7, Paid Personnel, Column (1). Enter only the number of persons to be employed in the position listed in Column (2) who will be affected by the amendment request.

Column (2). List separately only those paid positions affected by the amendment request, whether they are CAA or delegate agency positions. Group the positions under the following headings, to be inserted across Columns (1) and (2), as appropriate: "Additional Positions or Employees", "Deleted Positions or Employees", and "Changes in Current Positions or Employees". Within each of these groupings, list the paid professional positions first, then the paid nonprofessionals. Include all positions and employees added, deleted, or changed within the applicant's flexibility as well as those for which approval is requested. Use as many sheets of the CAP 25, page 2, as are necessary to list all positions affected by the amendment request.

For the purposes of completing this form a position should be considered to be any job title or category in which every employee is paid at the same annual salary rate, works the same number of months, and works the same percentage of time. For example, the following four groups of clerk-typists, all doing the same kind of work, should be considered as four different positions, and therefore listed separately: clerk-typist, @ \$4,500/year, working 12 months at 100% time; clerk-typist @ \$5,000/year, working 12 months at 100% time; clerk-typist @ \$5,000/year, working 6 months at 100% time; and clerk-typists @ \$5,000/year, working 6 months at 50% time.

Column (3). If the salary of a current position or employee is to be changed enter only the increase (+) or decrease (-) in the annualized salary rate at which the employee(s) will be paid, not the revised salary rate as amended. If a position or employee is added or deleted enter the entire annualized salary rate as an increase (+) or decrease (-). If the number of months or percentage of time worked by a current employee is changed but his annualized salary rate remains unchanged enter the entire current annualized salary rate.

## CAP 25 Amend . . .

The annualized salary rate for an added or deleted position or employee should represent the salary an individual working full-time (approximately 8 hours per day, 5 days per week), 12 months per year, would be paid. Be certain that the annualized salary rate shown for added or deleted positions or employees is the rate for the actual or probable employee(s) and not necessarily the maximum, minimum, or average rate for the position.

For example, the salary range for the position of neighborhood aide might be \$4,000-\$5,000. If all employees to be added or deleted will start at \$4,000, the salary rate entered in Column (3) will be (+ or -) \$4,000. However, if all affected employees are at the more advanced salary level of \$4,800, the salary rate in Column (3) would be (+ or -) \$4,800.

**Column (4).** If the number of months worked by current employees is to be changed enter only the increase (+) or decrease (-) in the number of months, **not** the revised number of months as amended. If a position or employee is added or deleted, enter the total number of months the employee in the position will work or has worked. If the annualized salary rate or percentage of time worked by a current employee changes but the number of months worked remains unchanged enter the total number of months currently worked.

Employees being added who have the same annualized salary and work the same percentage of time may be grouped together whether or not they will be working during the same months, as long as they will be working the same number of months. Otherwise, they should be listed separately (see instructions for Column (2) above).

**Column (5).** If the percentage of time worked

by current employees changes enter only the increase (+) or decrease (-) in the percentage of time the employees will work, **not** the revised percentage of time as amended. If a position or employee is added or deleted, enter the total percentage of time the employee in the position will work or has worked, **without** a plus (+) or minus (-). If the annualized salary rate or number of months worked by an employee changes but the percentage of time worked remains unchanged enter the total percentage currently worked **without** a plus (+) or minus (-).

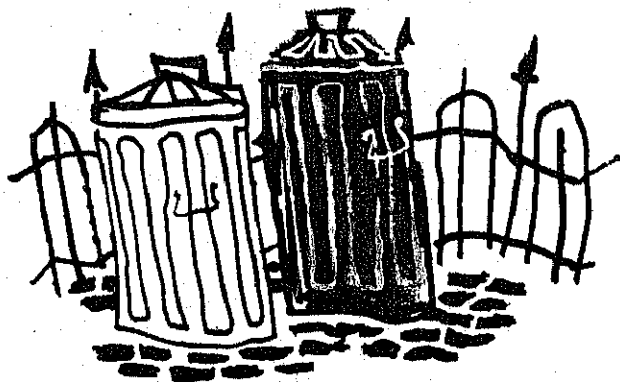
For purposes of computing percentage of time, an 8-hour day, 5-day week should be considered 100% of time. If the percentage of time, or increase or decrease in the percentage of time, will vary from one month to another, enter the average for all months worked. However, if the average percentage of time, or average increase or decrease, varies from one employee in the position to another then they should be listed separately (see instructions for Column (2) above).

**Columns (6) and (7).** If the annualized salary rate, number of months worked, or percentage of time worked by current employees is to be changed, enter in Columns (6) and (7), respectively, the total increase (+) or decrease (-) in the Federal and non-Federal share of their salaries. If positions or employees are being added or deleted, enter in Columns (6) and (7), respectively, the total Federal and non-Federal share (+ or -) of their salaries.

If a position or employee is being added or deleted, Columns (6) and (7), respectively, are computed by multiplying the number of persons in Column (1) paid from Federal or non-Federal funds by the (+ or -) annualized salary in Column (3), by the number of months in Column (4) divided by 12, by the percentage of time in Column (5).

For example, if the amendment request involves the deletion of three teachers paid from Federal funds at the annualized rate of \$6,000 per year, who work 9 months at 50% time, the decrease in Federal share requested in Column (6) would be  $3 \times -\$6,000 \times \frac{9}{12} \times .50 = -\$6,750$ .

If the annualized salary rate, number of months or percentage of time worked by a current employee is being changed, the figures in Columns (6) and (7) are computed by multiplying the number of persons in Column (1) paid from Federal or non-Federal funds, by the figures in the remaining columns. In this instance some of the figures are total actual salary rates, months, and percentages, while others are only increases or decreases.



## CAP 25 Amend . . .

For example, if the amendment request involves increasing from 9 to 12 the number of months worked by three teachers paid from Federal funds at the rate of \$6,000 per year at 50% time, the increase in Federal share requested in Column (6) would be  $3 \times \$6,000 \times +\frac{3}{12} \times .50 = +\$2,250$ .

If in the above example the percentage of time is to be decreased from 50% to 30% at the same time as the number of months is to be increased from 9 to 12 months, then the net change is computed by taking the sum of two separate computations:  $(3 \times \$6,000 \times +\frac{3}{12} \times .50) + (3 \times \$6,000 \times \frac{1}{12} \times -.20)$ , or  $+\$2,250 + -\$3,600 = -\$1,350$ .

**Totals, Paid Professional Personnel.** Enter in Column (1) the total number of persons in amended professional positions. Enter in Columns (6) and (7) the total increase (+) or decrease (-) in the Federal and non-Federal share for amended professional salaries. If additional pages of the CAP 25 are used, use this line as a page total on each page and as a grand total on the final page.

**Totals, Paid Non-Professional Personnel.** Enter in Column (1) the total number of persons in amended nonprofessional positions. Enter in Columns (6) and (7) the total increase (+) or decrease (-) in the Federal and non-Federal share for amended nonprofessional salaries. If additional pages of the CAP 25 are used, use this line as a page total on each page and as a grand total on the final page.

**TOTALS, PAID PERSONNEL.** Enter in Columns (1), (6), and (7) the totals of the two preceding lines, Totals, Paid Professional Personnel and Totals, Paid Non-Professional Personnel preceded by (+) or (-) as the case may be. If additional pages are used, use this line as a page total on each page and as a grand total on the final page.

### Item 8, Volunteers.

**Column (8).** Enter in Column (8) each category of volunteer affected by the amendment request. List those categories with the highest

hourly wage rates first, and those with the lowest hourly wage rates last. Group the categories under the following headings, to be inserted across Column (8): as appropriate: "Additional Categories", "Deleted Categories", "Changes in Current Categories". The title of the category should indicate the general nature of the services to be performed. Even if the services of two or more categories of volunteers are valued at the same hourly rate, list them separately if the nature of their services is essentially different. Use as many sheets of the CAP 25, page 2, as are necessary to list all categories of volunteers affected by the amendment request.

**Column (9).** Enter the hourly wage rate at which the services of the volunteer category are valued. Grantees are reminded that they may not request amendments in the hourly rates at which volunteer services are valued. These are determined by OEO and will be changed only upon OEO initiative.

**Column (10).** For additional or deleted categories enter the total number of hours the volunteers in the category will serve or have served. For additional categories of volunteers insert a (+) sign before the number of hours, for deleted categories insert a minus (-) sign. For current categories of volunteers enter only the **increase (+) or decrease (-)** in the number of hours served and **not** the revised number of hours as amended.

**Column (11).** Enter the total increase (+) or decrease (-) in the non-Federal share. These figures are computed by multiplying the hourly wage rate in Column (9) by the total number (+ or -) of hours served, or increase or decrease in the number of hours served, in Column (10). Round to the nearest whole dollar.

**TOTALS, VOLUNTEERS.** Enter in Columns (10) and (11) the totals of the preceding lines preceded by (+) or (-) as the case may be. These totals should represent the total increase or decrease in number of hours served and non-Federal share for volunteer services in the amendment request. If additional pages are used, use this line as a page total on each page and as a grand total on the final page.

OFFICE OF ECONOMIC OPPORTUNITY - APPLICATION FOR COMMUNITY ACTION PROGRAM  
PROGRAM ACCOUNT BUDGET SUPPORT SHEET (Please type or print clearly.)

Form Approved  
Budget Bureau No. 116-R0158

1. APPLICANT AGENCY	2. DATE SUBMITTED	3. PROGRAM YEAR END DATE:	4. GRANT NO.

a. NUMBER	b. NAME	PROGRAM ACCOUNT	
		c. BEGINNING	d. ENDING

[illegible]

7. <input type="checkbox"/> ADDITIONAL NARRATIVE STATEMENT IS ATTACHED	TOTALS CARRIED FORWARD FROM ATTACHED PAGES (if any)
TOTALS	

CAP FORM 25a (REV. AUG 68) (REPLACES CAP FORM 25 DATED 4-2-60)



# Instructions: Amendment Request Program Account Budget Support, CAP Form 25a

The CAP 25a is an **optional** form for amendment requests, used to itemize and provide the basis for valuation of the budget changes summarized on the Program Account Budget, CAP Form 25, where it is not convenient for the grantee to itemize such costs on the Justification for Program Account Amendment, CAP Form 25b.

One CAP 25a should be submitted for each program account in the amendment request for which the grantee has not itemized budget changes on the CAP 25b (unless, in the case of Salaries and Wages, budget changes are already itemized on the CAP 25, page 2). Whether the CAP 25b or CAP 25a is used, all non-Federal share and wages and salaries budget changes, Federal and Non-Federal, must be itemized and the basis for the valuation of non-Federal share indicated. If the CAP 25a is used, use as many sheets of the form as are necessary to itemize non-Federal share budget changes.

The following instructions relate to specific items on the CAP 25a:

**Items 1-5.** These items are identical to the corresponding items on the CAP 25 and CAP 25b.

**Item 6, Column (1).** Enter the appropriate cost category number of the budget change to be itemized. Although requested changes are shown on the CAP 25 for only Personnel Costs and Non-personnel Costs, when itemizing non-Federal share changes in these two categories use sub-cost categories as well; for example, enter 1.2 for "Fringe Benefits" or 2.5 for "Other Costs". List cost categories in the same order as they appear on the CAP 25.

**Column (2).** Describe the budget change in sufficient detail to insure that it is adequately identified and indicate the basis for determining or computing its value. For example: "Increase in office space rental for three professionals and two nonprofessionals: 200 sq. ft. @ +.50 per sq. ft. (from \$2.50 to \$3.00 per sq. ft.), including utilities and janitorial services." The portion of budget changes made within grantee flexibility should be described

as well as the portion requested beyond grantee flexibility.

Budget changes in Cost Category 1.1, Salaries and Wages, need not be itemized nor the basis for valuation provided since this is already done on page 2 of the CAP 25.

For changes in non-Federal share, the following information is required in addition to the description and basis for valuation: (a) whether the change in non-Federal share is **cash or in-kind**; (b) the name of the contributing individual or organization (except in the case of volunteers); and (c) the conditions, if any, attached to the contributions. For changes in non-Federal share in Cost Category 1.1 already itemized on page 2 of the CAP 25, identify the budget change and provide the information required in (a)-(c) above.

If changes are requested in both the Federal and non-Federal share for the same item, the description and basis for valuation must clearly distinguish between the portions of the budget change affecting Federal funds and the portion affecting non-Federal funds.

**Columns (3)-(4).** Enter in either Column (3) or Column (4) the amount or value of the budget change described in Column (2). If a change is requested in both Federal and non-Federal share for a single item, enter the appropriate amounts in each column.

**Totals Carried Forward.** If additional pages of the CAP 25a are used, leave this line blank on the continuation pages and enter in this line on the initial page the combined totals from the continuation pages.

**TOTALS.** Use this line as a page total on each continuation page and as a grand total on the initial page. The totals in Columns (3) and (4) should equal the total budget changes requested in Columns (6) and (7), respectively, on page 1 of the CAP 25.

**Item 7.** Do not complete this item. Use the CAP 25b for narrative justification.

OFFICE OF ECONOMIC OPPORTUNITY - APPLICATION FOR COMMUNITY ACTION PROGRAM JUSTIFICATION FOR PROGRAM ACCOUNT AMENDMENT			PAGE	OF	PAGES
1. APPLICANT AGENCY		2. DATE SUBMITTED	3. PROGRAM YEAR END DATE:	4. GRANT NO.	
5. PROGRAM ACCOUNT					
a. NUMBER	b. NAME	c. BEGINNING	d. ENDING		
6. SUBMITTED TO JUSTIFY (Check the following as appropriate) <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> CHANGE IN EITHER FEDERAL OR NONFEDERAL SHARE</li> <li>b. <input type="checkbox"/> CHANGE, BEYOND FLEXIBILITY, IN SALARIES AND POSITIONS AND/OR OTHER BUDGET CHANGES WITHIN PROGRAM ACCOUNT</li> <li>c. <input type="checkbox"/> CHANGE IN WORK PROGRAM</li> <li>d. <input type="checkbox"/> CHANGE, BEYOND FLEXIBILITY, IN ADMINISTERING AGENCY FUNDING LEVEL</li> </ul>					
GRANTEE EXPLANATION (If additional space is needed, continue on blank paper.)					

7. IF ITEM 6 a, ABOVE, IS NOT CHECKED, COMPLETE THE FOLLOWING IN LIEU OF CAP FORM 1.		
a. SUBMITTED BY (Typed name and title of authorized official)	b. SIGNATURE	
8. OEO ACTION		
a. <input type="checkbox"/> APPROVED <span style="margin-left: 100px;">b. <input type="checkbox"/> DISAPPROVED</span>		
c. TYPED NAME AND TITLE OF OEO OFFICIAL	d. SIGNATURE	e. DATE

CAP FORM 25b AUG 68 REPLACES CAP FORM 43, DATED MAR 67, WHICH IS OBSOLETE.

# Instructions: Justification for Program Account Amendment, CAP Form 25b

The CAP 25b is used to justify requested changes in program account budgets, work programs and administering agency funding levels. The CAP 25b may be used alone or in conjunction with other forms, depending on the nature of the amendment request (see Item 6 below).

The CAP 25b is also used as an OEO action document, to be returned to the grantee, to indicate (1) approval or disapproval of amendments which involve no changes in the Federal share, non-Federal share, or personnel and nonpersonnel costs; and (2) disapproval only of amendments which involve changes in the Federal share, non-Federal share, or personnel and nonpersonnel costs. Approval of such amendments is indicated on the Statement of CAP Grant, CAP Form 14, and Approved Program for Amended Program Accounts, CAP Form 14a.

A separate CAP 25b must be submitted in every amendment request for each program account to be amended. The following instructions are related to specific items on the form. If no instruction is included, the item is considered self-explanatory.

**Item 3.** Insert the appropriate program year letter and end date. These should always be for the program year for which the program account was funded.

**Item 5.** Insert the appropriate program year number, name, and beginning and end dates. Unless the amendment involves a change in the program account operating period, all information in this item should be identical to that on the CAP 25 submitted as part of the program year funding request.

**Item 6.** Check as many of the four boxes as are appropriate. If box "a" is checked, Summary of Application, CAP Form 1, and Program Account Budget, CAP Form 25, must also be submitted. If box "a" is not checked and box "b" is checked, a CAP 1 is not needed but a CAP 25 must be submitted. If neither box "a" nor "b" is checked, neither a CAP 1 nor a CAP 25 need be submitted.

Regardless of which boxes are checked, an Administering Agency Funding Estimate, CAP Form 85, a Participants/Expenditures Plan, CAP

Form 83, or a Participant Characteristics Plan, CAP Form 84, may also have to be submitted. (See the chart on page 127 to determine when these forms are required.)

**GRANTEE EXPLANATION.** Indicate briefly, but clearly, why the amendment is necessary. In explaining work program changes, use the questions on the Program Account Work Program, CAP Form 7, as a guide, indicating where the responses submitted with the program account funding request will change as a result of the amendment request. Indicate how work program changes will affect the numbers of participants and participant characteristics.

In explaining budget changes summarized on the attached CAP 25, indicate for each cost category what changes have already been made **within** the applicant's flexibility and what changes are requested **beyond** the applicant's flexibility. The changes made within and requested beyond flexibility should total the increases or decreases indicated on the CAP 25. Indicate how budget changes relate to work program changes.

In explaining changes beyond flexibility in administering agency funding levels, indicate why such changes are necessary and how they will affect the work program, numbers of participants, and participant characteristics.

**Item 7.** If Item 6.a is checked, a CAP 1 is required, and this item should be left blank. If Item 6.a is not checked, complete Item 7 in lieu of the CAP 1. The "authorized" official who completes this part is either the principal governing official or principal officer of the governing board, as appropriate, or some other official(s) of the CAA, such as the executive director, to whom the authority to submit amendment requests has been delegated. The name(s) of the official(s) authorized to sign should be the same as on Item 5.b of the Community Action Agency Basin Information, CAP Form 3.

**Item 8.** This part will be completed by OEO to indicate disapproval an amendment request and to indicate approval for non-budgetary amendments which do not require a CAP 14 and CAP 14a.



# Instructions: Amendment Request Participants Expenditures Plan, CAP Form 83

The CAP 83 is used by the grantee to estimate planned participant and Federal expenditure data for amended **program accounts**. The CAP 83 also provides amended planned participant data for **program activities** within program accounts. The CAP 83 constitutes an amended plan against which the applicant will report actual results in its quarterly MIS reports.

The CAP 83 must be submitted with every amendment request which changes the number of planned participants and planned Federal expenditures for one or more program accounts (see the chart on Page V-4). **Do not** submit a CAP 83 indicating only the increase or decrease in planned participants and expenditures. Submit a revision of the appropriate page or pages of the CAP 83 included in the **funding** request or resubmitted subsequent to grant approval.

The following instructions relate to specific items on the CAP 83.

**Items 1-4.** These items are identical to Items 1-4 on the Justification for Program Account Amendments, CAP Forms 25b, in the amendment request.

**Item 5.** Check box "b".

**Columns (1)-(14).** Indicate the participants and expenditures data, **as revised by the amendment request**, on all pages of the CAP 83 previously submitted which require revision. Such pages should include not only program accounts to be amended but also program accounts, originally shown on those pages, which remain unchanged. See "Instructions for Completing Participants/Expenditures Plan, CAP Form 83, for Funding Request" for further details on how to complete these columns.

OFFICE OF ECONOMIC OPPORTUNITY - APPLICATION FOR COMMUNITY ACTION PROGRAM  
PARTICIPANT CHARACTERISTICS PLAN

Form Approved  
Budget Bureau No. 116-R0151

1. APPLICANT AGENCY 2. DATE SUBMITTED 3. PROGRAM YEAR 4. GRANT NO.

5. THIS PLAN SUBMITTED AS PART OF: 2. FUNDING REQUEST b. AMENDMENT REQUEST c. PLAN ADJUSTMENT FOLLOWING OEO GRANT ACTION

PARTICIPANT CHARACTERISTICS	P.A. NO. NAME:		P.A. NO. NAME:		P.A. NO. NAME:		P.A. NO. NAME:		P.A. NO. NAME:		P.A. NO. NAME:	
	NUMBER (2)	% (3)	NUMBER (4)	% (5)	NUMBER (6)	% (7)	NUMBER (8)	% (9)	NUMBER (10)	% (11)	NUMBER (12)	% (13)
1. TOTAL PARTICIPANTS		100%		100%		100%		100%		100%		100%
a. AGE RANGE												
(1) 0-5												
(2) 6-15												
(3) 16-21												
(4) 22-44												
(5) 45-54												
(6) 55-64												
(7) 65 AND OVER												
b. FAMILY INCOME												
(1) ABOVE POVERTY LINE												
(2) BELOW POVERTY LINE												
(a) \$1-499 BELOW												
(b) \$500-1,499 BELOW												
(c) \$1,500 OR MORE BELOW												
c. SEX												
(1) MALE												
(2) FEMALE												
d. RACIAL/ETHNIC GROUPS												
(1) CAUCASIAN												
(a) MEXICAN-AMERICAN												
(b) PUERTO RICAN												
(c) OTHER CAUCASIAN												
(2) NEGRO												
(3) AMERICAN INDIAN												
(4) ORIENTAL												
(5) OTHER												
2. PARTICIPANTS IN FAMILIES RECEIVING WELFARE PAYMENTS												
3. PARTICIPANTS WHO ARE HEADS OF HOUSEHOLDS												

## Instructions: Amendment Request Participant Characteristics, CAP Form 84

The CAP 84 is used by the grantee to estimate quantitative data, **as amended**, on the characteristics of the planned participants in each program account funded for the approved program year. The CAP 84 constitutes an amended plan against which the applicant will report actual results in its quarterly MIS reports.

The CAP 84 must be submitted with every amendment request which changes the number and characteristics of planned participants for one or more program accounts (see the chart on Page V-4.) **Do not** submit a CAP 84 indicating only the changes in planned participant characteristics. Submit a revision of the appropriate page or pages of the most recent CAP 84 included in the **funding** request or resubmitted subsequent to grant approval.

The following instructions relate to specific items on the CAP 84:

**Items 1-4.** These items are identical to Items 1-4 on the Justification for Program Account Amendments, CAP Forms 25b, in the amendment request.

**Item 5.** Check box "b".

**Columns (2)-(13).** Indicate the participant characteristics, **as revised by the amendment request**, on all pages of the CAP 84 previously submitted which require revision. Such pages should include not only program accounts to be amended but also program accounts, originally shown on those pages, which remain unchanged. See "Instructions for Completing Participant Characteristics Plan, CAP Form 84, for Funding Requests" for further details on how to complete these columns.





# Instructions: Amendment Request Administering Agency Funding Estimate, CAP Form 85

The CAP 85 is used by the grantee to list the agencies which will administer its program accounts **as amended**, to estimate the Federal and non-Federal funds to be administered by each, and to estimate how the funds administered by each agency are divided by program account. An "administering agency" is either the grantee itself or a delegate agency.

The CAP 85 must be submitted with every amendment request exceeding grantee flexibility which changes the portion of the Federal or non-Federal share of any program account to be administered by any administering agency (see the chart on Page V-4). **Do not** submit a CAP 85 indicating only the changes in Federal or non-share administered by each agency. Submit a revision of the appropriate page or pages of the CAP 85 included in the **funding** request or resubmitted subsequent to grant approval.

The following instructions relate to specific items on the CAP 85:

**Items 1-4.** These items are identical to Items 1-4 on the Justification for Program Account Amendments, CAP Forms 25b, in the amendment request.

**Item 5.** Check box "b".

**Columns (1)-(10).** Enter the administering agency funding data, **as revised by the amendment request**, on all pages of the CAP 85 previously submitted which require revision. Such pages should include not only the administering agencies whose funding levels are to be amended but also administering agencies, originally shown on those pages, whose funding levels remain unchanged. If the amendment involves the funding of a new delegate agency, include the data for that agency on the last page of the CAP 85 previously submitted or, if space does not permit, on an additional page of the CAP 85. See "Instructions for Completing Administering Agency Funding Estimate, CAP Form 85, for Funding Requests" for further details on how to complete these columns.





## VI. GRANT PACKAGE

The grant package is the group of documents OEO completes that indicate the approval of a grant action: it includes changes made by OEO in the budget and work program as submitted; any conditions accompanying approval; and the amount of unexpended Federal funds approved for reprogramming.

Every grant package contains the CAP Form 14, Statement of CAP Grant, which is the legal document constituting the contract between OEO and the CAA. In addition, all grant actions will contain the general conditions appropriate to the grant approved. The package may also include one or more of the following attachments:

(1) Approved Program for Amended Program Accounts, CAP Form 14a;

(2) Explanation of Budget and Work Program Changes, CAP Form 25c (one for each program account changed by OEO);

(3) Unexpended Federal Funds Report, CAP Form 28;

(4) Special Condition, CAP Form 29 (one for those conditions applying to the entire grant and one for each special condition or group of special conditions applying to only certain program accounts).

This package is sent to the CAA following OEO approval of the grant action and generally prior to the Governor's approval. The CAA signs the CAP 14 to indicate acceptance of the grant and its accompanying conditions. A copy of the signed CAP 14 is returned to the appropriate Regional or Headquarters office.

## 1. GRANT NO. \_\_\_\_\_ PROG. YR. \_\_\_\_\_ ACT. NO. \_\_\_\_\_

\* As indicated on attached CAP Form 28.

# Statement of CAP Grant

## CAP Form 14

The Statement of CAP Grant, CAP Form 14, is the basic action document completed by OEO and sent to the grantee which indicates the approval of a grant for a community action program. The CAP 14 is also an acceptance document upon which the grantee indicates its acceptance of the grant action with all attached conditions.

"Approval of a CAP grant" encompasses a wide range of actions which may increase, decrease, or leave unchanged the grantee's level of approved program or the amount of Federal funds (new obligational authority) awarded to the grantee. It may mean the approval of either a **funding** request and/or of certain kinds of **amendment** requests.

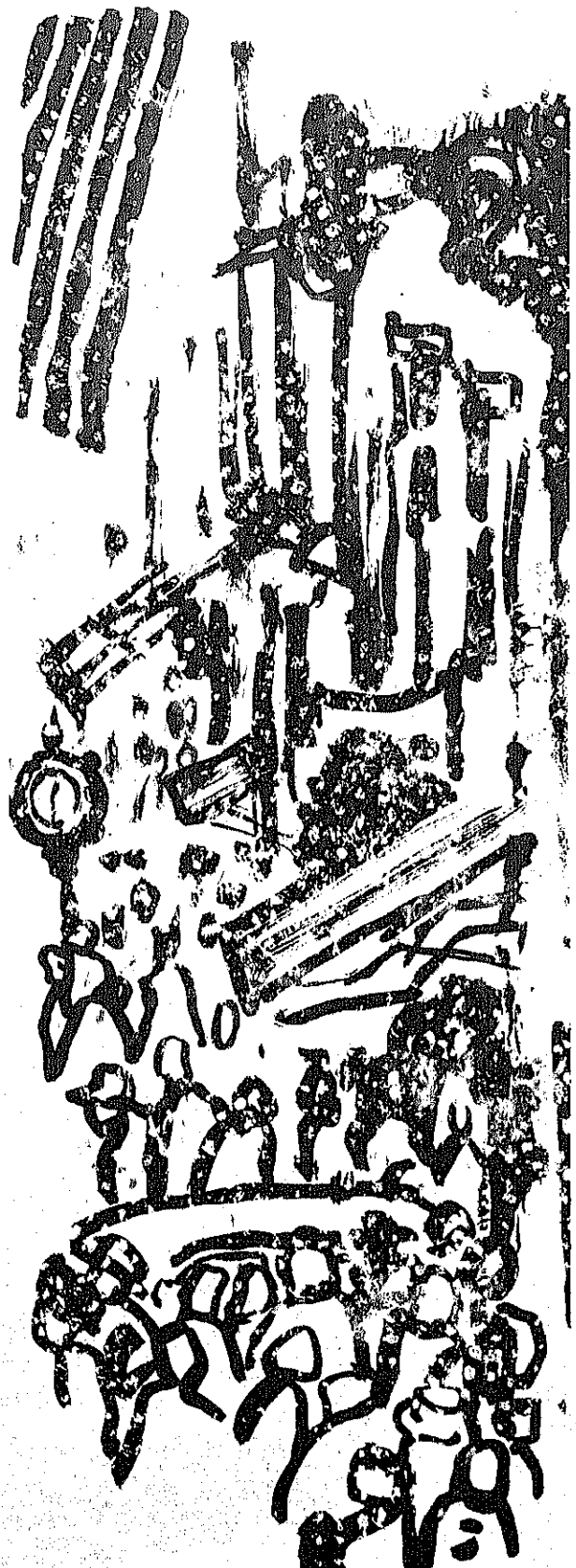
Specifically, the CAP 14 may be used to:

1. Approve a program account for the first time for a program year or increase or decrease the Federal or non-Federal share previously approved for a program year.
2. Approve a change beyond grantee flexibility between personnel and nonpersonnel costs within a program account without changing the Federal or non-Federal share approved for the program account.
3. Increase or decrease the amount of carry-over funds assigned or of additional Federal funds awarded for a program account.

The following explanation refers to specific items on the CAP 14. If no explanation is provided the item is considered self-explanatory:

**Item 1.** This item will indicate the basic four-digit grant number, the program year letter designation, and the sequential grant action number. For example: 4000/C/6. The initial program year grant action will be indicated by the numeral "0", the first subsequent grant action by the numeral "1", the second subsequent grant action by the numeral "2", etc. The example shown indicates the sixth subsequent grant action (i.e., the seventh grant action) in Program Year "C" (i.e., the grantee's third program year) for grant number 4000.

**Item 4.** The effective date of the grant action is the earliest date the grantee may begin to incur allowable costs against the grant as approved. Grants not subject to Governor's consideration will either state a specific effective date, or make the grant approval date the effective date. Grants subject to Governor's consideration will be made effective either on a specific date, subject to com-



## CAP 14 . . .

pliance with section 242 of the EOA, or on the date of compliance with Section 242 of the EOA. Section 242 requires that the grant be submitted to the Governor for consideration for up to 30 days. If he disapproves, the OEO Director may, nevertheless, favorably reconsider the grant. OEO will notify the grantee of the date of compliance with Section 242, whether it is the date of the Governor's consent, the end of his 30 day consideration period, or the date of favorable reconsideration by the OEO Director.

**Items 5-6.** If the grant action is awarded on a program year basis Item 5 will indicate the end date of the program year and Item 6 will be left blank. If the grant action is awarded on another basis, it will have a definite termination date, which will be indicated in Item 6. When Item 6 is completed, Item 5 will be left blank.

**Columns (1)-(2).** These columns will list the various program accounts for which funding or an increase or decrease in funding is approved by the grant action. If there are not enough lines to list all program accounts additional sheets of the CAP 14 will be used.

**Columns (3), (6), and (7).** These columns will indicate for each program account the approved Federal share, non-Federal share, and total program, respectively. Columns (3) and (6) will total Column (7). These columns represent the level of

approved program for each program account funded for the program year. For amendments, these columns will indicate the increase (+) or decrease (-), if any, in the Federal share, non-Federal share, and total program, respectively.

**Column (4).** This column will indicate the amount of unexpended Federal funds, [for amendments the increase (+) or decrease (-)] as shown on the CAP 28. These balances are assigned to specific program accounts, not necessarily from the same program account.

**Column (5).** This column will indicate the amount of additional Federal funds (new obligational authority), [for amendments the increase (+) or decrease (-)] awarded for each program account. Column (5) will equal the difference resulting from subtracting Column (4) from Column (3). If Column (4) is blank, Column (5) will equal Column (3). If Column (3) is blank, Column (5) will offset Column (4): If Column (4) is a positive number, Column (5) will be a negative number in the same amount; if Column (4) is negative, Column (5) will be positive in the same amount. If both Columns (3) and (4) are blank, Column (5) will also be blank.

**Columns (8)-(9).** These columns will indicate the approved personnel and nonpersonnel costs, or the approved increase (+) or decrease (-) in personnel and nonpersonnel costs, for each program account. Columns (8) and (9) total Column (7). If Column (7) is blank, Columns (8) and (9)





## CAP 14 . . .

will offset each other; one will be a positive number and the other a negative number in the same amount.

**Column (10).** This column will indicate the total number of months OEO has approved for each program account to operate during the program year.

**Line A, Totals Carrier Forward.** If additional pages of the CAP 14 are used this line will be left blank on the continuation pages and will indicate on the initial page the combined totals from any continuation pages.

**Line B, TOTAL APPROVED THIS GRANT ACTION FOR THIS PROGRAM YEAR.** This line will indicate a total of the program account data on all preceding lines, including Line A. The figure in the box outlined in heavy black under Column (5) represents the total amount of new

Federal funds awarded by the grant action. On some grant actions the figure in this box may be a negative amount or may be zero.

Negative actions are sometimes necessary to adjust the funds for a completed program year or the current program year. Usually such actions result from the receipt of the final report of the unexpended Federal fund balance, submitted on the CAP 28.

1. When a grantee has unexpended funds which cannot be used as carry-over funds, that amount must be returned by check made payable to OEO. Funds which cannot be carried over are those which were earmarked when awarded for programs which the grantee is not going to continue or were for programs which can no longer be supported by OEO.

In such cases the CAP Form 14 will be made as the last grant action for the prior program year even though that program year end date has passed.



## CAP 14 . . .

Column (5), Line B, on the CAP 14 will indicate the negative amount.

2. When it is necessary to reduce the amount of funds provided to the grantee for the on-going (current) program year, it is normally because the grantee has on hand more carry-over funds than anticipated when the initial CAP 28 was submitted. Occasionally it also may be necessary to reduce the grant funds if the grantee is spending well below its anticipated level.

If the final CAP 28 shows more carry-over funds than originally anticipated, and OEO cannot support a higher program level than already approved, the excess Federal funds must be recalled. This is done by a CAP 14 which adjusts the initial assignment of the anticipated unexpended funds and the initial award of new Federal funds.

Whether the grantee will be required to return a check for the negative amount shown in Column (5), Line B, on the CAP 14 will be determined by the way in which the funds are being made available to the grantee. The grantee will be advised whether (1) its letter of credit has been reduced, (2) the amounts of future checks scheduled for the program year have been reduced, or (3) to return the excess funds.

If the final CAP 28 shows more unexpended Federal funds than originally anticipated and the grantee is below the maximum Federal program level that OEO can support and has submitted a funding request for additional program accounts or funds, the adjustment will be made when the

grant action for the additional program accounts or funds is approved.

**Line C, TOTAL PREVIOUSLY APPROVED FOR THIS PROGRAM YEAR.** This line represents the totals of all previous grant actions, if any, for the program year. It should be the same as Line D on the last previous CAP 14 grant action, for the same program year. For initial program year grant actions, this line will be left blank.

**Line D, TOTAL APPROVED TO DATE FOR THIS PROGRAM YEAR.** This line is a grand total of Lines B and C.

**Item 9.** This item will indicate the title and signature of the OEO official approving the grant action, and the date the grant action is approved.

**Item 10.** OEO will send the grantee the original and one photocopy of the CAP 14 and all attachments. The grantee will indicate acceptance of the grant with all modifications, conditions, and requirements, by signing and dating the photocopy of the CAP 14 and returning it and the photocopies of all attachments to the Processing Unit of OEO Regional or Headquarters Office from which it was received.

To insure that the grantee accepts all modifications, conditions, and requirements contained in the attachments, the authorized official should count the pages attached to the CAP 14 as received to determine that the number of pages is the same as indicated in the space provided in Item 10. The official who signs the CAP 14 should be either the principal governing official (or his authorized designee) or the principal officer of the governing board.

	PAGE	OF	PAGES
1	1	1	1
2	2	2	2
3	3	3	3
4	4	4	4
5	5	5	5
6	6	6	6
7	7	7	7
8	8	8	8
9	9	9	9
10	10	10	10
11	11	11	11
12	12	12	12
13	13	13	13
14	14	14	14
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88	88	88	88
89	89	89	89
90	90	90	90
91	91	91	91
92	92	92	92
93	93	93	93
94	94	94	94
95	95	95	95
96	96	96	96
97	97	97	97
98	98	98	98
99	99	99	99
100	100	100	100

3. GRANT NO.	PROG. YR.	ACT. NO.

[illegible]

## Approved Program for Amended Program Accounts, CAP Form 14a

The Approved Program for Amended Program Accounts, CAP Form 14a, is used to indicate the **revised** approved program for program accounts amended by the Statement of CAP Grant, CAP Form 14, to which it is attached. The CAP 14a is not itself an **action** document; it is an **information** document which supplements a CAP 14. The CAP 14a is used only if the CAP 14 in the grant package **amends** one or more program accounts.

The columns on the CAP 14a correspond to those on the CAP 14, except that the program account data on the CAP 14 is for only the program approved by the grant action. The program account data on the CAP 14a is for the total approved program as amended.

The CAP 14a will list only those program ac-

counts on the CAP 14 which are amended. Therefore, the CAP 14a may include fewer program accounts than are included on the CAP 14.

If a program account was **never** previously amended for the program year, the figures for that program account in any column of the CAP 14a reflect a total of the figures in the corresponding columns on the attached CAP 14 and the CAP 14 on which the program account was originally **funded** for that program year. If a program account was previously amended, the figures for that program account in any column of the CAP 14a reflect a total of the figures in the corresponding columns on the attached CAP 14 and the last previous CAP 14a on which that program account was listed.

Form Approved.  
Budget Bureau No. 116-R0048

3. GRANT NO.

CAP FORM 28 (REV. AUG 58) PREVIOUS EDITIONS ARE OBSOLETE.

# Unexpended Federal Funds Report, CAP Form 28

The **initial** Unexpended Federal Funds Report, CAP Form 28, submitted by the grantee, which estimates **anticipated** unexpended Federal funds, is attached by OEO to the Statement of CAP Grant, CAP Form 14, in a **refunding** grant action. The form will indicate to the grantee the basis for assigning carry-over funds as shown in Column (4) of the CAP 14.

The **final** CAP 28 submitted by the grantee, which reports **actual** unexpended Federal funds, is attached by OEO to the CAP 14 in a grant action made **subsequent** to the receipt of the final CAP 28. The form will indicate the basis for either adjusting the original assignment of carry-over funds or for deobligating Federal funds.

In the **initial** CAP 28 attached to the CAP 14 in a refunding grant action, Columns (4) and (8) will have been completed by OEO. Column (4) will indicate the fiscal year in which the funds shown in Column (3) were **last** approved.

Column (8) will indicate the number of the program account to which all or part of the estimated unexpended Federal funds in Column (7) were

assigned, as shown in Column (4) of the CAP 14. If any of the funds in Column (7) could not be assigned, the designation "N/A" will be entered by OEO in Column (8). This will indicate that no action will be taken concerning that portion of unexpended funds until the final CAP 28 is received.

In the **final** CAP 28 attached to a subsequent grant action, Columns (10)-(12) will have been completed by OEO. Column (10) will indicate the adjustment made by OEO in the assignment of carry-over funds as a result of the differences, if any, between the estimated and the actual unexpended Federal funds. If an adjustment is made the number of the program account to which the adjusted funds are assigned will be indicated in Column (11) and reflected in Columns (3)-(5) of the CAP 14. If for any reason some or all of the unexpended funds cannot be assigned, the amount of the Federal funds to be deobligated will be indicated in Column (12) of the CAP 28 and will be shown in Column (5) of a separate CAP 14 for the previous program year as a negative amount.

PAGE      OF      PAGES	
OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM <b>EXPLANATION OF BUDGET AND WORK PROGRAM CHANGES</b>	
<i>Form Approved</i> <i>Budget Bureau No. 116-R0158</i>	
1. NAME OF GRANTEE	2. END OF PROGRAM YEAR      3. GRANT NO.      PROG. YR.      ACTION NO. <div style="text-align: center; height: 20px;">/</div>
4. PROGRAM ACCOUNT	
a. NUMBER	b. NAME
c. BEGINNING	d. ENDING

5. THE GRANTEE MUST RESUBMIT THE FOLLOWING FORMS REFLECTING THE CHANGES INDICATED ABOVE

- ☐ CAP FORM 83, PARTICIPANTS/EXPENDITURES PLAN
- ☐ CAP FORM 84, PARTICIPANT CHARACTERISTICS PLAN
- ☐ CAP FORM 85, ADMINISTERING AGENCY FUNDING ESTIMATE

## **Explanation of Budget and Work Program Changes CAP Form 25c**

The Explanation of Budget and Work Program Changes, CAP Form 25c, is used as an attachment to the Statement of CAP Grant, CAP Form 14, to indicate any changes made by OEO in the budget and work program for any program account as submitted by the grantee in the funding or amendment request.

A separate CAP 25c is attached to the CAP 14 for every program amount for which OEO has made budget or work program changes. If no CAP 25c is attached for any program account funded or amended on the CAP 14, it indicates that OEO has approved the program account budget and work program exactly as submitted in the funding or amendment request.

The CAP 25c will indicate budget changes by

cost category, and will relate increases or decreases to the specific amounts or items requested on the Program Account Budget, CAP Form 25, and Program Account Budget Support Sheet, CAP Form 25a. Work program changes will refer to specific questions on the Program Account Work Program, CAP Form 7, and/or on the supplementary work programs, if any.

If the CAP 25c indicates that a specific cost or function is reduced or eliminated, the grantee may not use funds for that purpose, even within its flexibility, without prior written OEO approval.

Item 5 on the CAP 25c will indicate which revised forms, if any, the grantee will have to re-submit to reflect the budget or work program changes indicated on the CAP 25c.

# General Conditions

General Conditions will be attached to all grant actions. However, grantees are cautioned that even if General Conditions are not attached, the program accounts in the grant action remain subject to the applicable General Conditions set out in this manual.

One of the two following sets of General Conditions will apply to every grant action covered by this Handbook:

1. General Conditions Governing OEO Community Action and Migrant Program Grants.

2. General Conditions Governing OEO Comprehensive Health Services Grants.

In accepting the grant action, the authorized official of the grantee accepts on behalf of the grantee the limitations of the applicable General Conditions.

## ***General Conditions Governing Community Action and Migrant Grants***

Program funds expended under authority of this grant action are subject to the provisions of the Economic Opportunity Act as amended, the general conditions listed below, any attached special grant conditions, and OEO directives. The grantee is expected to inform OEO promptly if it fails to receive, or has reason to believe it has failed to receive, all OEO directives or any attachments to the Statement of CAP Grant. Many of these provisions do not represent invariable policies of the Office of Economic Opportunity, and exceptions should be requested in cases in which compliance with one or more of them would cause unnecessary difficulties in carrying out the approved program. Requirements found in grant conditions or OEO directives may be waived only by a written notification signed by an authorized OEO official. Any such waiver must be explicit; no waiver may be inferred from the fact that the grant action is responsive to a grant funding request which may have contained material inconsistent with one or more of these conditions.

### **1. DEFINITIONS.** As used in these conditions:

(a) An "approved program" consists only of those activities described in the grant funding request for which funding is approved in the Statement of CAP Grant and its attachments (which may include modifications of proposed activities) or in OEO approved written amendments to the statement of CAP grant.

(b) "Funding period" is the period of time from the effective date of the grant action to the end of the program year or grant termination date;

(c) "OEO directives" are statements of policy and procedure published in the OEO publications system, including those portions of the Community Action Program guides and those Community Action Memos which have been incorporated into the OEO publications system.

(d) "Program funds" refers to all amounts approved for expenditure for the approved program as shown on the Statement of CAP Grant, whether such amounts are derived from Federal or non-Federal sources, or whether they are provided in cash or in kind.

**2. APPLICABILITY OF CONDITIONS TO DELEGATE AGENCIES.** These conditions are applicable both to the grantee and to any delegate agency or organization that, pursuant to an agreement with the grantee, undertakes responsibility for any part of the approved program. Such an agreement may be entered into only if (1) the intention to make such a delegation to the particular agency has been set forth in the funding request for this grant action or has otherwise been approved by OEO, and (2) the contract contains all of the provisions found in the approved "Standard Contract Form for Delegation of Program Accounts."

**3. LIMITATIONS ON EXPENDITURE OF PROGRAM FUNDS.** Expenses charged against program funds may not be incurred prior to the effective date of the grant or subsequent to the earlier of (1) the program year end date or (2) the grant termination date; and may be incurred only as necessary to carry out the purposes and activities of the approved program. Such expenditures may not exceed the maximum limits set in the approved budget shown on the Statement of CAP Grant or those in a budget subsequently approved for that approved program, subject to allowable flexibility guidelines published by OEO. All expenses incurred for the approved program must be supported by approved contracts, purchase orders, requisitions, bills, or other evidence of liability consistent with the grantee or delegate agency's established purchasing procedures. Expenses charged against program funds, must also be incurred in accordance with OEO directives. Liabilities of the grantee or its delegate agencies to third parties as a result of termination action which are costs of winding-up in accordance with



## Gen. Conds. . . .

OEO directives or are specifically approved shall be considered proper expenditures of program funds. OEO will determine the disposition of unexpended funds at the termination of the grant.

4. **LIMITATIONS ON EXPENDITURES OF FEDERAL FUNDS.** Expenditures of Federal funds may not exceed the amount of the grant shown on the Statement of CAP Grant. In addition, the Federal share of the costs of the approved program may not exceed the maximum Federal percentage of program funds shown on the Statement of CAP Grant. The amount of Federal funds expended under this grant action may not exceed the grantee's allowable costs for the approved program which have been or are to be paid in cash.

5. **PROPERTY.** No program funds may be expended or costs incurred for the purchase of real property. Regulations on the acquisition, ownership, and disposition of personal property are set forth in OEO directives.

6. **DISCRIMINATION PROHIBITED.** No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the proceeds of, or be subject to discrimination under the program approved as a result of this funding request. The grantee and its delegate agencies will comply with the regulations promulgated by the Director of OEO, with the approval of the President, pursuant to the Civil Rights Act of 1964.

7. **DISCRIMINATION IN EMPLOYMENT PROHIBITED.** In all hiring or employment made possible by or resulting from this grant action, each employer (1) will not discriminate against any employee or applicant for employment because of race, creed, color, or national origin, and (2) will take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, creed, color, or national origin. This requirement shall apply to, but not be limited to, the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The grantee

delegate agencies shall comply with all Executive Orders on equal opportunity and this grant action.

any part of the approved program that is conducted by a church or church related institution is entirely non-sectarian in content and purpose, and that OEO directives on grants and delegations to churches or church related institutions are satisfied.

9. **REPORTS, RECORDS, AND INSPECTIONS.** The grantee and its delegate agencies shall submit financial, program progress, evaluation, and other reports as required by OEO directives, and shall maintain such property, personnel, financial and other records and accounts as are deemed necessary by OEO to assure a proper accounting for all program funds. The grantee and its delegate agencies shall permit on-site inspections by OEO representatives, and shall effectively require employees and board members to furnish such information as, in the judgment of the OEO representatives, may be relevant to a question of compliance with grant conditions and OEO directives, or the effectiveness, legality, and achievements of the program. All grant records will be made available to the authorized representatives of OEO or the Comptroller General of the United States in accordance with OEO directives.

10. **CONVENANT AGAINST CONTINGENT FEES.** The grantee warrants that no person or selling agency or other organization has been employed or retained to solicit or secure this grant action upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee. For breach or violation of this warrant the government shall have the right to annul this grant action without liability or, in its discretion, to deduct from the grant or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee, or to see such other remedies as may be legally available.

11. **SUSPENSION AND TERMINATION.** The Director of OEO may in accordance with published regulations, suspend or terminate this grant in whole or in part for cause, which shall include: (1) failure or unwillingness of the grantee or its delegate agencies to comply with the approved program including attached conditions, or with such statutes, Executive Orders, or OEO directives as may become generally applicable at any time; (2) submission by the grantee or its delegate agencies to OEO of reports which are incorrect or incomplete in any material respect; (3) ineffective or improper use of Federal funds by the grantee or its delegate agencies; (4) making any change which significantly impairs the representative character of the grantee's policy-making body or the grantee's capacity to elicit community support; (5) failure of the

## ***1. Conds. . . .***

be either to adequately monitor and the program activities delegated to other es, or to provide effective guidance to such les in carrying out the purpose and activities portions of the approved program delegated an. This grant may also be suspended or ated in whole or in part in the event a new is recognized by OEO as the Community Agency for all or part of the area served grantee in accordance with OEO directives. sh event part of the grant funds and the e's or delegate agencies' functions, obliga- records (or copies), authority and property g to assistance provided to the grantee or egate agencies under this grant action shall nsferred by the grantee and its delegate es to such newly recognized agency. No sion or termination will affect any expend- or legally binding commitments made prior iving notice of the suspension or termina- rovided such expenditures or commitments ade in good faith and not in anticipation nination and are otherwise allowable. Funds ot be treated as committed for this purpose by virtue of a grantee's contract or other tment to a delegate agency. Upon suspen- termination, the disposition of unexpended al funds and property purchased with pro- funds will be subject to OEO direction.

### **al Conditions Governing Comprehensive Health Services Grants**

gram funds expended under authority of rant action are subject to the provisions of onomic Opportunity Act as amended, the l conditions listed below, any attached spe- rant conditions, and OEO directives. The e is expected to inform OEO promptly if s to receive, or has reason to believe it has to receive, all OEO directives or any attach- to the Statement of CAP Grant. Many of provisions do not represent invariable pol- f the Office of Economic Opportunity and ions should be requested in cases in which iance with one or more of them would cause ssary difficulties in carrying out the ap- l program. Requirements found in grant ions or OEO directives may be waived only ritten notification signed by an authorized official. Any such waiver must be explicit: iver may be inferred from the fact that the action is responsive to a grant funding re- which may have contained material incon- with one or more of these conditions.

### **1. DEFINITIONS. As used in these conditions :**

(a) An "approved program" consists only of those activities described in the grant funding request for which funding is approved in the Statement of CAP Grant and its attachments (which may include modifications of proposed activities) or in OEO approved written amendments to the statement of CAP grant.

(b) "Funding period" is the period of time from the effective date of the grant action to the end of the program year or grant termination date;

(c) "OEO directives" are statements of policy and procedure published in the OEO publications system, including those portions of the Community Action Program guides and those Community Action Memos which have been incorporated into the OEO publications system.

(d) "Program funds" refers to all amounts approved for expenditure for the approved program as shown on the Statement of CAP Grant, whether such amounts are derived from Federal or non-Federal sources, or whether they are provided in cash or in kind.

**2. APPLICABILITY OF CONDITIONS TO DELEGATE AGENCIES.** These conditions are applicable both to the grantee and to any delegate agency or organization that, pursuant to an agreement with the grantee, undertakes responsibility for any part of the approved program. Such an agreement may be entered into only if (1) the intention to make such a delegation to the particular agency has been set forth in the funding request for this grant action or has otherwise been approved by OEO, and (2) the contract contains all of the provisions found in the approved "Standard Contract Form for Delegation of Comprehensive Health Services Program Accounts."

**3. LIMITATIONS ON EXPENDITURE OF PROGRAM FUNDS.** Expenses charged against program funds may not be incurred prior to the effective date of the grant or subsequent to the earlier of (1) the program year end date or (2) the grant termination date; and may be incurred only as necessary to carry out the purposes and activities of the approved program. Such expenditures may not exceed the maximum limits set in the approved budget shown on the statement of CAP Grant or those in a budget subsequently approved for that approved program, subject to allowable flexibility guidelines published by OEO. All expenses incurred for the approved program must be supported by approved contracts, purchase orders, requisitions, bills, or other evidence of liability consistent with the grantee or delegate

## *Gen. Conds. . . .*

agency's established purchasing procedures. Expenses charged against program funds must also be incurred in accordance with OEO directives. Liabilities of the grantee or its delegate agencies to third parties as a result of termination action which are costs of winding up in accordance with OEO directives or are specifically approved shall be considered proper expenditures of program funds. OEO will determine the disposition of unexpended funds at the termination of the grant.

**4. LIMITATIONS ON EXPENDITURES OF FEDERAL FUNDS.** Expenditures of Federal funds may not exceed the amount of the grant shown on the Statement of CAP Grant. In addition, the Federal share of the costs of the approved program may not exceed the maximum Federal percentage of program funds shown on the Statement of CAP Grant. The amount of Federal funds expended under this grant action may not exceed the grantee's allowable costs for the approved program which have been or are to be paid in cash, provided that unit costs, fees for services including approved prepayment arrangements set forth and approved in the program budget, or otherwise specifically approved in writing by OEO, may be deemed cash expenditures.

**5. PROPERTY.** Upon completion of the project, the grantee will report to OEO an itemization of all nonconsumable property purchased with program funds. OEO at that time will determine the disposition to be made of such property.

**6. DISCRIMINATION PROHIBITED.** No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the proceeds of, or be subject to discrimination under the program approved as a result of this funding request. The grantee and its delegate agencies will comply with the regulations promulgated by the Director of OEO, with the approval of the President, pursuant to the Civil Rights Act of 1964.

**7. DISCRIMINATION IN EMPLOYMENT PROHIBITED.** In all hiring or employment made possible by or resulting from this grant action, each employer (1) will not discriminate against any employee or applicant for employment because of race, creed, color, or national origin, and (2) will take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, creed, color, or national origin. This requirement shall apply to, but not be limited to, the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising;

layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The grantee and its delegate agencies shall comply with all applicable Statutes and Executive Orders on equal employment opportunity and this grant action shall be governed by the provisions of all such Statutes and Executive Orders, including enforcement provisions, as set forth in OEO directives.

**8. RELIGIOUS INSTITUTIONS.** The grantee and its delegate agencies shall ensure that any part of the approved program that is conducted by a church or church related institution is entirely non-sectarian in content and purpose, and that OEO directives on grants and delegations to churches or church related institutions are satisfied.

**9. REPORTS, RECORDS, AND INSPECTIONS.** The grantee and its delegate agencies shall submit financial, program progress, evaluation, quarterly utilization reports in conformity with a "Utilization Reporting System," and other reports as required by OEO directives, and shall maintain such property, personnel, financial and other records and accounts as are deemed necessary by OEO to assure a proper accounting for all program funds. The grantee and its delegate agencies shall permit on-site inspections by OEO representatives, and shall effectively require employees and board members to furnish such information as, in the judgment of the OEO representatives, may be relevant to a question of compliance with grant conditions and OEO directives, or the effectiveness, legality, and achievements of the program. All grant records will be made available to the authorized representatives of OEO or the Comptroller General of the United States in accordance with OEO directives.

**10. COVENANT AGAINST CONTINGENT FEES.** The grantee warrants that no person or selling agency or other organization has been employed or retained to solicit or secure this grant action upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee. For breach or violation of this warrant the government shall have the right to annul this grant action without liability or, in its discretion, to deduct from the grant or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee, or to seek such other remedies as may be legally available.

**11. SUSPENSION AND TERMINATION.** The Director of OEO may in accordance with published regulations, suspend or terminate this grant in whole or in part for cause, which shall include: (1) failure or unwillingness of the grantee or its delegate agencies to comply with the approved

## **Gen. Conds. . . .**

program including attached conditions, or with such statutes, Executive Orders, or OEO directives as may become generally applicable at any time; (2) submission by the grantee or its delegate agencies to OEO of reports which are incorrect or incomplete in any material respect; (3) ineffective or improper use of Federal funds by the grantee or its delegate agencies; (4) making any change which significantly impairs the representative character of the grantee's policy making body or the grantee's capacity to enlist community support; (5) failure of the grantee either to adequately monitor and evaluate program activities delegated to other agencies, or to provide effective guidance to such agencies in carrying out the purpose and activities of the portions of the approved program delegated to them; and (6) failure of the grantee to delegate to a particular agency when the work program provided for such delegation. This grant may also be suspended or terminated in whole or in part in the event a new agency is recognized by OEO as the Community Action Agency for all or part of the area served by the grantee in accordance with OEO directives. In such event if OEO shall so direct all or any part of the grant funds and the grantee's or delegate agencies' functions, obligations, records (or copies), authority and property relating to assistance provided to the grantee or its delegate agencies under this grant action shall be transferred by the grantee and its delegate agencies to such newly recognized agency. No suspension or termination will affect any expenditures or legally binding commitments made prior to receiving notice of

the suspension or termination, provided such expenditures or commitments were made in good faith and not in anticipation of termination and are otherwise allowable. Funds shall not be treated as committed for this purpose solely by virtue of a grantee's contract or other commitment to a delegate agency. Upon suspension or termination, the disposition of unexpended Federal funds and property purchased with program funds will be subject to OEO direction.

12. **CONTRACTS.** All contracts or subcontracts relating to this grant action for an amount exceeding \$10,000 or for building or renovation shall be approved by OEO prior to execution.

13. **ELIGIBILITY FOR SERVICES.** Health services provided through the use of program funds shall be readily accessible to the low-income residents of the area to be served, provided however, that such services may be made available to all residents on an emergency basis or pending a determination of eligibility.

14. **INTEGRATION OF FEDERAL, STATE AND LOCAL SOURCES OF FUNDS.** Each Comprehensive Health Services program is responsible for making and fully implementing agreements to obtain from public or private agencies which purchase or provide health services or supplies to low-income individuals in a community served by the program all reimbursements available under Federal, state, or local law. OEO funds are the last dollar source. Program funds may not be used for health care costs which would otherwise be the responsibility of other agencies unless adequate arrangements for reimbursements on an equitable basis are made. All reimbursements shall be treated as program income.



OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM  
**SPECIAL CONDITION**

1. NAME OF GRANTEE

2. GRANT NO. PROGRAM YR. ACTION NO.

3. SPECIAL CONDITION APPLIES TO:

a. ☐ ALL PROGRAM ACCOUNTS IN GRANT ACTION b. ☐ ONLY PROGRAM ACCOUNT NUMBER(S)

This grant is subject to the Special Condition below, in addition to the applicable General Conditions governing grants under Title II or III-B of the Economic Opportunity Act of 1964 as amended.

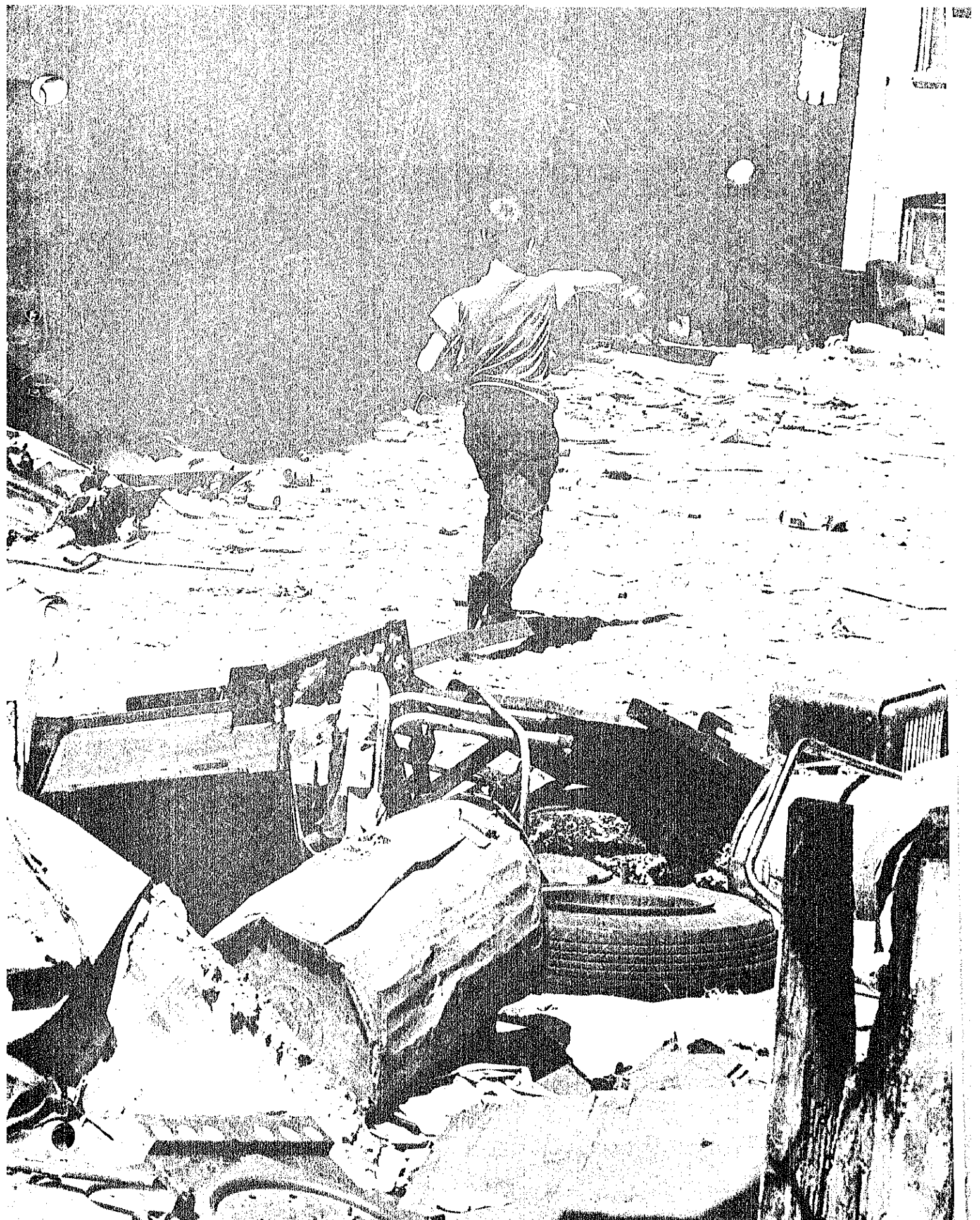
## *Special Condition, CAP Form 29*

The Special Condition, CAP Form 29, is used as an attachment to the Statement of CAP Grant, CAP Form 14, to indicate those special conditions, if any, which apply to one or more program accounts in the grant action **in addition to** the General Conditions governing grants under the appropriate sections of the Economic Opportunity Act of 1964, as amended.

A special condition may apply to only one program account, several program accounts, or all program accounts in the grant action. A separate CAP 29 will be attached to the CAP 14 for those special conditions applying to all program accounts in the grant action and for each special condition or

group of special conditions applying to only certain program accounts. Item 3 will indicate to which program accounts in the grant action it applies.

A CAP 29 may require the grantee to submit by a certain date various documents indicating compliance with the special condition. Such compliances are returned to the appropriate OEO Regional or Headquarters Office together with the signed CAP 14 and attachments or at a later date within the time limit set by OEO. In some cases the release of funds to the grantee will be contingent upon submission of satisfactory evidence of compliance.







## Appendix A

### WHERE TO APPLY

For grants under sections—	CAA's on Indian reservations or in U.S. territories, apply to—	All other CAA's, apply to—
221, 222 other than Comprehensive Health Services and Upward Bound.	OEO, Special Field Programs Office, 1200 19th St. N.W., Washington, D.C. 20506	Appropriate OEO Regional Office.
222 for Comprehensive Health Services...	OEO, Health Services, 1200 19th St. N.W., Washington, D.C.	OEO, Health Services, 1200 19th St. N.W., Washington, D.C. 20506
222 for Upward Bound.....	OEO, Upward Bound, 1200 19th St. N.W., Washington, D.C.	OEO, Upward Bound, 1200 19th St. N.W., Washington, D.C. 20506
312 (Migrants).....	OEO, Special Field Programs Office, 1200 19th St. N.W., Washington, D.C. 20506	OEO, Special Field Programs Office, 1200 19th St. N.W., Washington, D.C. 20506
222 Legal Services (see text).....	OEO, Legal Services, 1200 19th St. N.W., Washington, D.C. 20506	OEO, Legal Services, 1200 19th St. N.W., Washington, D.C. 20506

## Appendix B

### OEO REGIONAL OFFICES AND JURISDICTIONS

*Requests for information and forms should be addressed to the OEO Regional Office in your area. Regional office addresses, telephone numbers and jurisdictions covered are listed below.*

<i>Regions</i>	<i>Jurisdictions covered</i>
<b>REGION I</b>	
OEO Northeast Region..... 72 West 45 Street New York, N.Y. 10036 (212) 573-6413	Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island, and Vermont.
<b>REGION II</b>	
OEO Mid-Atlantic Region..... 1832 M Street, N.W. Washington, D.C. 20506 (202) 382-6383	Delaware, District of Columbia, Kentucky, Maryland, North Carolina, Pennsylvania, Virginia, and West Virginia.
<b>REGION III</b>	
OEO Southeast Region..... 730 Peachtree Street, N.E. Atlanta, Georgia 30308 (404) 526-3337	Alabama, Florida, Georgia, Mississippi, South Carolina, and Tennessee.
<b>REGION IV</b>	
OEO Great Lakes Region..... 623 South Wabash Avenue Chicago, Illinois 60605 (312) 353-5786	Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin.
<b>REGION V</b>	
OEO Southwest Region..... 314 West 11 Street Austin, Texas 78701 (512) 475-5717	Arkansas, New Mexico, Texas, Louisiana, and Oklahoma.
<b>REGION VI</b>	
OEO North Central Region..... 911 Walnut Street Kansas City, Missouri 64106 (816) 374-2206	Colorado, Idaho, Iowa, Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, and Wyoming.
<b>REGION VII</b>	
OEO Western Region..... 100 McAllister Street San Francisco, California 94102 (415) 556-7716	Alaska, Arizona, California, Hawaii, Nevada, Oregon, and Washington.
<b>SPECIAL FIELD PROGRAMS</b>	
Office of Economic Opportunity..... 1200 19th Street NW. Washington, D.C. 20506 (202) 382-5165	Indian and Migrant programs and all programs in Guam, Micronesia, Puerto Rico, and Virgin Islands.

# Appendix C

## CROSS-REFERENCE OF OLD AND NEW CAP FORMS

Section of manual	Old CAP form retained	New CAP form	Replaces old CAP form
DETERMINATION OF GRANTEE ELIGIBILITY	CAP 11, Assurance of Compliance with the OEO's Regulations Under Title VI of the Civil Rights Act of 1964	CAP 3, Community Action Agency Basic Information CAP 87, Delegate Agency Basic Information	CAP 3, Applicant Agency
PLANNING AND PREREVIEW.	CAP 5, Community Information	CAP 81, Community Action Agency Plans and Priorities	
FUNDING REQUEST	CAP 46, Checkpoint Procedure for Coordination Between CAP and Other Anti-Poverty Activities	CAP 1, Summary of Application CAP 82, Maintenance of Effort Certification  CAP 28, Unexpended Federal Funds Report CAP 7, Program Account Work Program  CAP 7a, Comprehensive Health Services Supplementary Work Program CAP 7b, Legal Services Supplementary Work Program CAP 7c, Upward Bound Supplementary Work Program CAP 7d, Central Administration Work Program CAP 83, Participants/Expenditures Plan CAP 84, Participant Characteristics Plan CAP 25, Program Account Budget  CAP 25a, Program Account Budget Support Sheet  CAP 85, Administering Agency Funding Estimate	CAP 1, Summary of Application CAP 2, Program Characteristics  CAP 28, Report of Unexpended Federal Funds by Component CAP 6, Component Project: Program Development CAP 7, Component Project: Conduct and Administration Progress Report and Work Plan for Next Program Year Head Start Forms 30a and 30b Application for Refunding, Legal Services Program UB 4, Upward Bound Program Description Progress Report and Work Plan for Next Program Year  Application for Refunding, Legal Services Program UB 4, Upward Bound Program Description CAP 7, Component Project: Conduct and Administration  CAP 25, Component Budget CAP 23, Budget, Comp. Project CAP 23, Budget, Comp. Project CAP 34, Itemization of Non-Federal Share
AMENDMENTS		CAP 25, Program Account Budget CAP 25b, Justification for Program Account Amendment CAP 14a, Approved Program for Amended Program Accounts	CAP 43, Component Amendment CAP 43, Component Amendment  CAP 25, Component Budget CAP 43, Component Amendment
GRANT PACKAGE		CAP 14, Statement of CAP Grant  CAP 25c, Explanation of Budget and Work Program Changes CAP 28, Unexpended Federal Funds Report CAP 29, Special Condition	CAP 14, Statement, CAP Grant. CAP 25, Component Budget CAP 43, Component Amendment CAP 25, Component Budget CAP 43, Component Amendment CAP 28, Report of Unexpended Federal Funds by Component CAP 29, Special Condition

# Appendix D

## GLOSSARY OF TERMS

**Administering Agency**—A CAA or delegate agency with direct responsibility for operating all or portions of a program account.

**Administering Board**—The principal representative board of a CAA that is a state, political subdivision of a state or a combination of political subdivisions established under the governing officials.

**Amendment**—A change in the work program or budget of a program account already funded for the program year.

**Approved Program Year**—The program year in which an approved program account is currently operating or last operated. In a funding request, the approved program year is the program year preceding the requested program year. In an amendment request, the approved program year is the same as the requested program year.

**Area Boards or Councils**—Boards or councils meeting OEO composition requirements and operating within an area served by the CAA. Area boards or councils may be subsidiary to the CAA itself or may be boards of separate neighborhood based organizations. They may possess major policy making powers or serve as advisory groups to the CAA.

**Authorized Official**—Governing officials and board and staff officials who have authority to sign funding documents.

**Coordination**—The design and management of a plan to administer CAA programs so that all program elements are interrelated and consistent with the CAA's strategies and goals. Coordination requires the CAA to relate its planning and operations to other relevant programs in the community.

**County Board**—A representative board of a single county within a multi-county CAA.

**Delegate Agency**—An organization with which the CAA has contracted to operate all or portions of a program account.

**Estimated Unexpended Federal Funds**—The CAA's projection of Federal funds which will be uncommitted at the end of the current program year.

**Expanded Total Program Costs**—The cost (Federal and non-Federal share) for the level of program operations the CAA could effectively undertake if sufficient funds were available, within the constraints given in this manual.

**Executive Director**—The director of the CAA staff.

**Expenditures**—All allowable disbursements chargeable to the approved budget plus the recorded dollar value of all unpaid invoices for material received and services rendered, and in-kind services and materials applied to the operation of the program.

**Evaluation**—A process through which information is obtained which permits a determination of whether CAA operations are achieving defined program objectives. Evaluation has four parts: agreement upon standards of performance; regular systematic reporting of actual results; comparison and analysis of results against standards; judgment of the results.

Evaluation may be done in the following ways:

**Self-evaluation**—the evaluation done by a CAA as an internal assessment of its program;

**Independent evaluation**—evaluation performed for a CAA by an agent or agency other than the CAA;

**Monitoring**—a continuous evaluation process with constant feed-back into program operations.

**Federal Share**—The portion of the approved cost for a total program or program account funded by OEO/CAP.

**Fiscal Year**—Any 12 month period used for fiscal or tax purposes. The Federal fiscal year is July 1 to June 30.

**Full-Year Cost**—The total cost (Federal and non-Federal share) of operating a program account for a program year when it is fully operational. The full-year cost includes both built-in increases, such as annual salary increments and higher costs after program operations are phased in, and decreases, such as lower costs following one-time equipment outlays or after other sources of funding are made available. The full-year cost excludes costs of activities not included in the work program or not at least partially underway in the prior program year. The full-year cost does not represent the cost of operating the program account for 12 months unless the program account is specifically intended to operate for 12 months when fully operational.

**Funding Period**—The period of time from effective date of grant action to end of the program year or termination date if not funded on a program year basis.

**Funding Request**—The CAA application to OEO for funds to operate program accounts not yet approved for the program year.

**Goals**—Statements of the changes the CAA wants to accomplish which serve as guides for the agency's planning.

**Governing Board**—The principal representative board of a CAA which is a designated separate public agency or private non-profit organization, possessing full decision-making authority.

**Governing Officials**—Normally, (a) the governor and legislature of any of the 50 states, the Commonwealth of Puerto Rico, or a self-governing territory, or (b) the top elected or duly appointed officials of a local political subdivision, or of the District of Columbia, or of a non-self-governing territory, who collectively possess the power to adopt and carry out local laws or ordinances. However, if the Attorney General or other chief legal officer of the political jurisdiction certifies in writing that the governor, mayor or other chief executive officials, or a specific group of the officials described above possesses the power either (a) to plan, conduct, administer, and evaluate a community action program, or (b) to designate a separate public agency or private non-profit organization as a community action agency, then that official or group of officials may be considered the "governing officials" for that purpose.

**Grant**—The approval of a program and the provision of Federal funds to a grantee.

**Grant Action**—The action by which OEO authorizes a grantee to operate, either directly or through delegation, one or more program accounts.

**Grant Application Process**—The activities the CAA performs to establish eligibility for funding, plan its program for the coming program year and request funds for the operation of that program.

**Grant Termination Date**—The date after which the grantee may not incur costs.

**Initial Grant Action**—The first time OEO approves a program under a grant number. The initial grant action is designed "A/O".

**Initial Program Year Grant Action**—The first time OEO approves a program under a grant number for a specific program year. The initial program year grant action is

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ways identified by "/O" following the Program Year letter designation.

**Level of Approved Program**—The maximum Federal program level for a specific period of time (usually the program year). Both the Federal funds available for re-programming from a previous program year (carry-over funds assigned and the new Federal funds (new obligation authority) are included in the Level of Approved program.

**Major Policy Advisory Committee**—A coordinating committee composed of representatives from policy advisory committees.

**Neighborhood-Based Organizations**—Organizations composed predominantly if not entirely of the residents of areas and members of groups served by a community action program. The organizations assist the CAA in the planning, policy-making, conduct and evaluation of programs within their neighborhoods. They may be delegate agencies or division of the CAA or they may serve in an advisory capacity to the CAA.

**New Program Account**—A program account not previously approved by OEO for the grantee or its predecessor or the approved or prior program year. A program account previously funded as a "component" is not considered a new program account.

**Non-Federal Share**—That portion of the total cost for program that is supplied by local sources as cash, in-kind or services contributed.

**Non-Professional**—A paid CAA or delegate agency employee, usually a member of the group to be served, who performs tasks for which professional training or skills are not required.

**Objectives**—Specific results, often quantifiable, to be accomplished by a program. Objectives should be consistent with goals and strategies for achieving desired change.

**Old Program Account**—A program account previously approved by as a P/A or a component OEO to the grantee or its predecessor for the current program year.

**PERT**—Program Evaluation and Review Technique—method of analysis and presentation. Analysis of what required to do a job is presented in a diagram consisting of all the activities and events that must be accomplished and their interdependencies and interrelationships. A complete PERT presentation will show the time required.

**Planning Process**—The annual cycle of procedures and activities involved in coming to decisions about the CAA's goals, priorities, strategies, program structure, projects and program accounts required to meet objectives.

**Policy Advisory Committee**—A group formed for the purpose of recommending policies to either the CAA or a delegate agency—generally composed largely of target area representatives.

The guidelines for some program accounts (e.g. Head Start and Comprehensive Health Services) require that policy advisory groups with specific powers and responsibilities be established.

**Political Subdivision or Subdivisions**—A unit of general local government for a specific geographic area within a state. Normally a county, township, metropolitan or regional government, city, town or village. The term also includes the tribal government of a state or Federal Indian reservation. It does not include specialized governmental agencies, such as school boards, conservation dis-

tricts, or special park or police authorities. Nor does it include wards or precincts.

**Principal Governing Official**—The chief elected official of a state or political subdivision.

**Principal Officer of Governing or Administering Board**—The Chairman or President of the governing or administering board of a CAA.

**Principal Representative Board**—The governing or administering board of a community action agency.

**Professional**—A paid CAA or delegate agency employee who performs duties requiring professional qualifications or who is hired for his skills.

**Program Account**—A program package composed of related activities which serves as the funding, administrative and reporting unit for CAA programs.

**Program Account Amendment Request**—A request to change the work program or budget of a funded program account.

**Program Account Funding Request**—The first request for approval of a program account for a given program year.

**Program Account Operating Period**—The period of time in the program year during which the grantee is authorized to incur costs against a specified program account. The program account operating period may be shorter than or the same as the program year, but in no event may it be longer than the program year.

**Program Activities**—The smallest identifiable units of work that in varying combinations constitute the work program of a program account.

**Program Design**—The program goals and objectives; the program activities; the work schedule; and personnel, materials, and financial resources necessary to carry out a program.

**Program Director**—The delegate agency senior staff person responsible for directing the activities of portions of one or more delegated program accounts. The Program Director is not necessarily the Executive Director of the delegate agency.

**Program Year**—A cycle (usually 12 months) for the planning, review and refunding of a grantee's program.

**Program Year Ending (PYE)**—The last day of the grantee's program year for that grant.

**Project**—A logical grouping of all or portions of two or more program accounts to meet long-range community objectives to alleviate specific poverty problems.

**Refunding**—The authorization to continue a community action program.

**Refunding Grant Action**—The major grant action approved by OEO for a grantee's second or subsequent program year. The refunding grant action may be either the initial program year grant action or a subsequent grant action for that program year.

**Requested Program Year**—The program year for which approval or amendment of a program account is requested.

**Requested PY+1**—The program year following the requested program year.

**Requested PY+2**—The second program year following the requested program year.

**Stipend**—A stipend is an allowance given to trainees while enrolled in an OEO/CAP authorized training program.

**Subsequent Grant Action**—Any action made by OEO/CAP on a CAP Form 14 after the initial action in a PY.

**Target Area**—A territory with a high incidence of poverty in which the CAA concentrates its operations.

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**Target Area Residents**—All people who live within the area identified by the CAA as a target area, regardless of whether they are above or below the poverty line.

**Total Costs**—The Federal and non-Federal share of a program.

**Unexpended Balance**—The actual Federal funds less un-

paid expenses remaining at a given time during the funding period.

**Volunteers**—Persons who perform services in the community action program for which they receive no salary, but for which the CAA may receive credit toward the non-Federal share requirement.

**Work Program**—The description of activities to be undertaken to accomplish the objectives of a program account.

## Appendix E

### DEFINITIONS OF CAP PROGRAM ACCOUNTS AND PROGRAM ACTIVITIES

#### 01. CAA Administration (221)

Administering and managing the central staff, facilities, and equipment, and other administrative overhead costs of the community action agency. Generalized CAA activities (such as intake and program placement) not related to a specific program, neighborhood service system, or community organization efforts, are to be included. The mobilization of community resources, and CAA-level coordination efforts to ensure the execution of programs operated by the CAA and/or delegate agencies, are included. Also included is the day-to-day coordination of OAP-funded programs with related Federal, state, local, and private agency programs. Management research activities are included, such as the collection, storage, and retrieval of management information when such activities are not a part of a specific project or program account but are utilized as a means of central administrative control.

This activity does NOT include administration or management directly linked to a specific activity or program account operated by the CAA—such administration should be included under the appropriate program account. Similarly, delegate agency administration should be included as part of the program accounts for programs operated by the delegate agency. Administrative overhead and generalized activities in neighborhood centers or community schools should be reported under the program account for neighborhood service systems.

This activity includes the provision of administrative services and support to members of the governing body or policy advisory committees, where not related to a specific program account. It also includes unclassified in-service training, not related to a specific program account, to the staff of a CAA or delegate agency or to other significantly involved persons such as members of governing bodies or policy advisory committees. Such unclassified training is carried out as part of a CAA's administration and management activities, and does not include training conducted under Section 230. Training conducted under Section 221 or 222, and which is directly related to a program account, will be included under that program account or the appropriate associated program account. See program accounts 20, 28, and 58.

#### 02. Program Development (221)

Initially setting up and developing the community action program in a new CAA on the basis of the needs of poor people and the special conditions of that community. This activity is not to be used for reporting on the development of new programs or modification of existing programs within an ongoing community action program; such activities should be identified in program account 03.

#### 03. CAA Planning (221)

This activity includes the Planning Development Program (PDP), assisting CAA's to plan for the improvement and strengthening of their systematic approach to community action by which, in each community: the problems and causes of poverty are identified; public and private resources are coordinated and mobilized; program priorities are established; and antipoverty programs are appropriately linked to one another. The activity includes the planning and development of new programs and the improvement and modification of existing programs within the ongoing community action program, as well as the planning of strengthened coordination among OAP funded programs and related Federal, state, local, and private agency programs. It specifically includes planning research activities, excluding research conducted under Section 222 or 232. Research in this context includes obtaining information for the planning of the CAA's program structure and specific projects or program accounts; and obtaining the basic information and fundamental knowledge relevant to understanding and dealing with the problems and causes of poverty in the community. It also includes the provision of general planning assistance to groups or agencies which cannot be directly related to a specific program account.

#### 04. CAA Evaluation (221)

Evaluation in this context is that performed by CAA's as part of their administration and management activities, and does not include evaluation described in program account 97. Evaluation includes analyzing the effectiveness of ongoing or completed community action programs. It focuses on results and implications of programs in being or completed, and therefore may or may not be directly related to a currently funded program.

#### 07. Neighborhood Service Systems (221)

**Neighborhood Center Administration.** Administering and managing the neighborhood center staff, facilities, equipment, and other administrative overhead costs of the neighborhood center. Generalized neighborhood center activities (such as intake, initial assessment, referral, and program placement) not related to a specific program account are to be included. This category does not include specific programs (e.g., Head Start, Adult Basic Education, Prevocational Training, etc.) which are operated from neighborhood center facilities but identified in separate program accounts; this category does not include any community organization efforts—Community Organization, whether directed by or not associated with neighborhood centers, should be identified in program account 08.

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**Community School Administration.** Administering and managing the community school staff, facilities, equipment, and other administrative overhead costs of the community school. Generalized community school activities (such as intake, initial assessment, referral, and program placement) not related to a specific program account are to be included. This activity does not include specific programs (e.g., Head Start, Adult Basic Education, Prevocational Training, etc.) which are operated from community school facilities but identified in separate program accounts. This activity does not include any community organization efforts—Community Organization, whether directed by or not associated with community schools, should be identified in program account 08.

### 08. Community Organization (221)

This activity includes community organization and outreach conducted to encourage antipoverty program participation. These activities may be directly related to a neighborhood center or community school, or may be totally independent of such facilities. Community organization includes involving residents or low-income neighborhoods in the affairs of their community by encouraging them to organize and take group action to deal with their problems. Activities include contacting individuals to help them organize, assisting them to determine their needs and conduct meetings to discuss their problems, and advising them on group action taken to solve their problems. Outreach involves actively seeking out poor people through direct personal contact for the purpose of determining their antipoverty needs and informing them of the programs and services available to them in the community action program or related non-CAP programs.

### 11. Job Development, Placement, and Follow-Up (221)

**Job Development.** Finding new job openings that will provide employment for poor people, including stimulating the creation of new jobs and the further improvement of existing jobs in the labor market to benefit disadvantaged people through efforts to restructure hiring criteria, facilitate labor mobility, and promote fuller employment. This category includes job development associated with OJT contracts.

**Job Placement.** Placing individuals in appropriate jobs. A placement is defined as placing an individual in a job that is kept for a minimum of one month.

**Job Follow-Up Services.** Counseling individuals after they have been placed in a job. Such counseling is normally conducted for a minimum of three months.

### 12. Manpower Program Intake, Assessment, and Program Placement (221)

Measuring individual aptitudes, needs, and interests to determine current skill levels and the potential for acquiring additional skills needed to participate in vocational or other training programs or to obtain employment. Participants are usually placed in prevocational or vocational training, direct employment or job placement services as a result of the assessment and placement functions.

### 13. Prevocational and Vocational Training (221)

**Prevocational Training:** Preparing an individual for assuming the responsibilities of employment or participation in a vocational training program. Emphasis can be placed on attitudinal training, work experience, or basic education, or any combination thereof. (Note: Pro-

grams providing adult basic literacy training are to be reported under Adult Education, program account 29.)

**Vocational Training:** Helping an individual to become competitive in the labor market through specific job skill training. This training generally takes the form of institutional training, on-the-job training; or a combination of the two activities. If the vocational training is on-the-job training coupled with basic education, report the basic education participation under prevocational training.

### 14. Foster Grandparents (123)

Employing elderly poor persons to care for poor or institutionalized children on a part-time basis. Includes only programs funded under Title I.

### 15. Opportunities Industrialization Centers (221)

OIC's are manpower training programs that provide a complete range of activities for underemployed and unemployed men and women. The programs are open to all regardless of education or skill level, and may provide recruitment, intake, prevocational feeder training, skill training, job placement, and job development; they provide complete prevocational and vocational training courses and also prepare people for the more advanced job-training programs such as MDTA and OJT.

### 16. Direct Employment (221)

Any direct employment projects which do not meet the criteria of specific work and training projects described elsewhere in the Economic Opportunity Act (e.g., a neighborhood clean-up project in which poor people are paid out of Title II, Section 221, funds). Programs for the chronically unemployed are included in this activity.

### 19. Day Care (221)

Providing day care services for children. All such programs must meet Federal Interagency Requirements for Day Care. Includes only programs funded under Section 221, as distinguished from programs in program account 23 (Full Year Head Start—Full Day), funded under Section 222.

### 20. Head Start Training & Technical Assistance (222)

**Head Start Training.** Training related to Head Start and those projects approved under the authority of Section 222(a)(1). Training conducted under the authority of Section 230 is not included in this activity.

**Head Start Technical Assistance.** Technical assistance related to Head Start and those projects approved under the authority of Section 222(a)(1). Technical assistance conducted under the authority of Section 230 is not included in this activity.

### 21. Head Start Research & Evaluation (222)

**Head Start Research.** Research related to Head Start and those projects approved under the authority of Section 222(a)(1). Research conducted under the authority of Section 232 is not included in this activity.

**Head Start Evaluation.** Evaluation related to Head Start and those projects approved under the authority of Section 222(a)(1). Evaluation described in program account 97 is not included in this activity.

### 22. Full Year Head Start—Part Day (222)

Providing comprehensive child development programs that operate up to 6 hours per day for at least 8 months in a calendar year. These programs are primarily for children aged 3 through 6, but may serve some younger or older children.

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### 23. Full Year Head Start—Full Day (222)

Providing comprehensive child development programs that operate more than 6 hours per day for at least 8 months in a calendar year. These programs are primarily for children aged 3 through 6, but may serve some younger or older children.

### 24. Summer Head Start (222)

Providing comprehensive child development programs during the summer months and limited to children who will attend regular school for the first time in the fall. These programs must operate for at least an aggregate of 120 hours.

### 25. Parent & Child Centers (222)

Experimental centers for children and parents from disadvantaged families with at least one child under age 3. Greater emphasis than Head Start on reinforcing parental skills and involvement with their children. Centers will operate with the entire family, generally linked to a neighborhood service center. These programs meet Head Start standards and are funded out of Head Start funds.

### 26. School Age Education (221)

**Guidance, Testing and Counseling.** Identifying special problems and characteristics of poor students and helping those students make the best of their education through guidance, testing, and counseling efforts.

**Tutorial and Remedial Education.** Providing individual tutoring assistance, homework help, or supervised study classes to students after regular school hours to supplement regular classroom work at their current grade levels. This activity includes providing instruction in remedial reading (including English composition, language arts, and communication skills) and remedial instruction in other curricular areas, such as mathematics and science, for students performing below their normal grade level.

**Cultural Enrichment.** Increasing a student's school performance and motivation through active participation in and exposure to the creative and performing arts and other cultural activities. This activity includes field trips designed to fulfill these purposes.

**Curriculum and Facility Development.** Improving and modifying course schedules and course content, and improving faculty capability in order to help poor students improve their performance and motivation.

**Special and Other School Age Education.** This activity includes (1) programs using special education techniques to teach children with physical or emotional handicaps, including education for mentally retarded children; (2) programs other than Upward Bound providing aid to promising high school students to improve their opportunities to attend college, and to promising college students to continue their education; and (3) other education programs or services to school-age participants outside, the scope of those listed above.

### 27. Upward Bound (222)

Precollege preparatory program designed to further general skills and motivation for success in education beyond high school among young people of low income background and inadequate secondary school preparation. Reporting is required for the summer and follow-up phases of the program.

### 28. Upward Bound Training, Research, Technical Assistance, & Evaluation (222)

**Upward Bound Training.** Training related to Upward Bound and those projects approved under the authority of Section 222(a)(5). Training conducted under the authority of Section 230 is not included in this activity.

**Upward Bound Research.** Research related to Upward Bound and those projects approved under the authority of Section 222(a)(5). Research conducted under the authority of Section 232 is not included in this activity.

**Upward Bound Technical Assistance.** Technical assistance related to Upward Bound and those projects approved under the authority of Section 222(a)(5). Technical assistance conducted under the authority of Section 230 is not included in this activity.

**Upward Bound Evaluation.** Evaluation related to Upward Bound and those projects approved under the authority of Section 222(a)(5). Evaluation described in program account 97 is not included in this activity.

### 29. Adult Education (221)

**English as a Second Language.** Teaching English to persons whose native language is not English.

**Adult Basic Education.** Providing basic literacy training for adults who are unable to read and write. The literacy training in this category is designed to increase employment opportunities, enhance participant benefits from manpower training programs, and generally upgrade the ability of participants to cope with their environments.

**Other Adult Education.** Providing educational programs or services to adults other than those specifically included in the programs listed above. This activity includes, but is not limited to, improving poor parents' orientation toward education to improve the school performance of poor students.

### 30. Housing Services (221)

**Home Improvement.** Providing funds to stimulate home repairs, improvements, or construction. This activity may include programs concentrating on construction skill training where housing construction or repair is an equivalent or even secondary benefit; funds for building materials or permanent financing are not included. It may also include programs assisting in homesite preparation and subsequent home maintenance.

**Other Housing Services.** Providing other housing services to meet the complex need of the poor. This activity includes providing (a) help to poor families or individuals in finding new housing arrangements, and (b) information to individuals and groups on the availability and best use of current public and private housing programs, such as public housing, urban renewal, and special financial assistance.

### 37. Housing Development Corporations (221)

A nonprofit organization focusing on the housing needs of low-income families and individuals, and providing the technical, administrative, and financial assistance required for low-income families and individuals to more effectively utilize existing programs, and which is required to enable nonprofit, cooperative, and public sponsors to more effectively take advantage of existing Federal, state, and local mortgage insurance and housing assistance programs. Funds for building materials or permanent financing are not included. Housing development programs which are not operated through an HDC should be reported under program account 38.

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## PROGRAM ACCOUNTS . . .

### 41. Comprehensive Health Services (222)

Development and conduct of Comprehensive Health Services projects (Neighborhood Health Centers) assisted by grants under Section 222(a)(4). This includes prevention, diagnostic and rehabilitation services as well as health education, outreach, training and other related services. It also encompasses related planning, administrative, technical assistance and evaluation activities.

### 42. Medical Care (221)

Community health projects involving the diagnosis and treatment of illness and disability, including the follow-up and care of problems identified in case-finding activities (such as health examinations of Head Start children and manpower trainees). Exclusive of more specialized activities included in program accounts 43-49.

### 43. Dental Care (221)

Community health projects involving the examination and treatment of dental disorders, including preventive, curative and follow-up services.

### 44. Mental Health Care (221)

Community health projects involving the examination and treatment of mental health problems, including consultative, preventive, curative and follow-up services. Exclusive of activities classified in program accounts 45 and 46.

### 45. Narcotics Addiction (221)

Community health projects involving the prevention of narcotics addiction and the care and rehabilitation of narcotics addicts, including guidance, training and job placement.

### 46. Alcoholism (221)

Community health projects involving the prevention and control of alcoholism and the care of alcoholics, including guidance, training and job placement.

### 47. Family Planning (222)

Community health projects involving education, counseling, examinations, supplies and instruction in the full range of family planning methods.

### 48. Environmental Health (221)

Community health projects concerned with the control of environmental hazards, including improved sanitation and rodent control.

### 49. Other Health Programs (221)

Other community health projects, including health education, immunization, training, casefinding and special health projects.

### 51. General Services (221)

**Home Management Instruction.** Teaching groups and individuals such skills of housekeeping as cooking, sewing, shopping, meal planning, child rearing, family health and safety measures, and informing them about available community services.

**Homemaker Services.** Provision of homemakers to assist families to keep the household going on a temporary emergency basis.

**Food Distribution.** Distributing raw or prepared food to poor people, including meals, under the authority of Section 221. Emergency food programs, under the authority of Section 222, should be identified in program account 55.

**Food Production.** Providing seeds and other materials to poor people so they can grow and increase the yield of the food they raise for their own consumption or for sale.

**Social Service Counseling and Other Activities.** Social services, including counseling of individuals, families, and groups, to help them solve their problems.

**Projects Related to Legal Services.** Bail-bond projects and other legal services-related projects financed under the authority of Section 221. Note that these activities are not part of the Legal Services special emphasis program financed under the authority of Section 222, program account 57.

### 52. Consumer Action & Financial Counseling (221)

**Consumer Action and Financial Counseling.** Developing and supporting local groups that seek to solve consumer problems through group action, consumer education, financial counseling, and the establishment of new consumer institutions to provide choices in goods, services, and credit to poor consumers.

**Credit Cooperatives (Credit Unions).** Creating and maintaining credit unions and other sources of low cost credit that provide poor people the opportunity to save and to obtain inexpensive credit, financial counseling, debt handling and reduction services, and long-term budgeting aid.

### 53. Cooperatives (221)

Creating and maintaining cooperative enterprises among poor people to meet common economic problems or to provide commonly needed services. This activity includes consumer cooperatives, such as buying clubs which help to reduce the cost of consumer goods purchased by poor people, and production cooperatives, such as manufacturing or agricultural cooperatives which promote jobs and higher incomes, and which create enterprises owned and controlled by the poor.

### 54. Emergency Financial Assistance (221)

Providing emergency loans or grants to meet immediate and urgent individual and family needs, other than food and medical services covered by program account 55. This activity includes emergency assistance to meet housing and employment-related needs, and to provide clothing.

### 55. Emergency Food & Medical Services (222)

Providing, on a temporary emergency basis, such basic foodstuffs and medical services as may be necessary to counteract conditions of starvation or malnutrition among the poor. Includes providing assistance to non-participating but eligible persons to enroll in Food Stamp, Commodity Distribution, or other local food programs.

### 57. Legal Services (222)

**Legal Services.** Providing legal advice and representation by qualified legal counsel. Legal advice means telling people what to do about their specific legal problems. Legal representation means advocating the position of an individual or group. This activity includes education programs for poor people, concerning their legal rights and responsibilities and the legal resources available to them.

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It also includes the advocacy of reforms to make the legal system more responsive to the needs of the poor.

**Legal Services-Related Projects.** This activity includes neighborhood courts, arbitration, and other projects which involve the reform of legal institutions but which do not require as an integral element the provision of legal advice or representation. These activities are financed under the authority of Section 222, and differ from those financed under the authority of Section 221, program account 51.

### 58. Legal Services Training, Research, Technical Assistance and Evaluation (222)

**Legal Services Training.** Training related to Legal Services and those projects approved under the authority of Section 222(a)(3). Training conducted under the authority of Section 230 is not included in this activity.

**Legal Services Research.** Research related to Legal Services and those projects approved under the authority of Section 222(a)(3). Research conducted under the authority of Section 232 is not included in this activity.

**Legal Services Technical Assistance.** Technical Assistance related to Legal Services and those projects approved under the authority of Section 222(a)(3). Technical Assistance conducted under the authority of Section 230 is not included in this activity.

**Legal Services Evaluation.** Evaluation related to Legal Services and those projects approved under the authority of Section 222(a)(3). Evaluation described in program account 97 is not included in this activity.

### 59. Special Summer Programs (221)

**Special Summer Program Planning.** To enable Community Action Agencies to develop a plan for the utilization, coordination and mobilization of all resources within the community to achieve the greatest impact in employment, recreation, camping, education, community services, cultural enrichment and other activities during the summer months.

**Summer Recreation.** Includes such activities as track, baseball, supervised games, and other playground activities, physical fitness, sports instruction clinics, swimming, mobile recreation units, tot-lots, and the closing of streets for festivals and part-time play spaces.

**Summer Camping.** Includes residential, day camps, family camps, travel camps, reading camps, camps that combine work experience with recreation, and camps that are used for planning year-round programs.

**Summer Education.** Includes both group and individual tutorial programs; citizenship training, mobile library, G.E.D. courses, study centers, homework help clubs for summer school students, use of educational films, creative writing classes, and reading programs.

**Summer Community Services.** Includes such activities as consumer action surveys, surveys of neighborhood needs, gathering of information for municipal planning and model cities field work; community relations programs with police departments and Human Relations Commissions; neighborhood services, such as babysitting, escort service for those who otherwise would not participate in community life; small repair service and assistance to the elderly; day care program; youth outreach and guidance program, and youth planners to work with established agencies in developing appropriate programs.

**Summer Cultural Enrichment.** Includes such activities as drama, dance, music, and movie work-shops; photography and film labs; field trips to historical sites, taping

oral histories of local communities; arts and crafts, painting and sculpture, and neighborhood festivals.

**Special Summer Programs.** Components which because of their uniqueness do not fall into any of the activities noted above.

### 60. Recreation (221)

Providing recreation activities to the poor on a year-round or nearly year-round basis. This activity does not include recreation programs conducted only during the summer; see program account 59 for summer only programs.

### 62. Economic Development (221)

Programs designed to stimulate economic development in the community. Includes activities which provide for planning and organizational vehicles, assistance in locating suitable funding and technical assistance sources, and coordination with appropriate government agencies and the private business community. Among other things, these programs may seek to establish or expand businesses and services operated by local individuals and groups, the location of outside industry in the community, tourism projects, and the development of natural resources such as lumber, minerals, and fishing. They may also assist in providing or obtaining essential community facilities which will aid in improving the economic environment of the target population.

### 65. Senior Opportunities & Services (222)

These activities are designed to identify and meet the needs of older poor persons above the age of 55, in projects which serve or employ older persons as the predominant or exclusive beneficiary or employee group. Among other things, such projects may seek to develop and provide new employment and volunteer services; effective referral to existing health, welfare, employment, housing, legal, consumer, transportation, education, recreational, and other services; stimulation and creation of additional services and programs to remedy gaps and deficiencies in presently existing services and programs; modification of existing procedures, eligibility requirements and program structures to facilitate the greater use of, and participation in, public services by the older poor; development of all-season recreation and service centers controlled by older persons themselves; and such other activities and services as are necessary or specially appropriate to meet the needs of the older poor and to assure them greater self-sufficiency.

### 72. General Staff Training (230)

Training of specialized or other personnel as needed in connection with programs authorized under Title II of the EOA, or which otherwise pertains to the purposes of Title II. Training conducted under the authority of Section 222, related to national emphasis projects approved under the authority of Section 222, is not included in this activity; see program accounts 20, 28, and 58. Also, unclassified training carried out as part of a CAA's administration and management activities under Section 221, is not included in this activity; see program account 01.

### 76. General Technical Assistance to Communities (230)

Technical assistance to communities in developing, conducting, and administering programs under Title II of the EOA, except that technical assistance conducted under the authority of Section 222, related to national emphasis

## PROGRAM ACCOUNTS . . .

projects approved under that section, is not included in this activity; see program accounts 20, 28, and 58.

### 77. State Agency Assistance (231)

Assistance to designated agencies of States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, or the Trust Territory of the Pacific Islands, to enable those agencies to provide technical assistance to communities and local agencies in developing and carrying out programs under Title II of the EOA, to assist in coordinating state activities related to Title II, and to advise and assist the Director.

### 83. General Research (232)

Research pertaining to the purposes of Title II of the EOA, except that research conducted under the authority of Section 222, related to national emphasis projects approved under that section, is not included in this activity; see program accounts 21, 28, and 58. Also, CAA research carried out as part of a CAA's administration and management or planning activities under Section 221 is not included in this activity; see program accounts 01 and 03.

### 84. Pilot Programs (232)

Pilot or demonstration projects designed to test or assist in the development of new approaches or methods which will aid in overcoming special problems or otherwise further the purposes of Title II of the EOA. All pilot or demonstration projects, regardless of their relationship to a national emphasis project authorized under Section 222, shall be included in this program account.

### 87. Migrant Program Administration (312)

Administering and managing the central staff, facilities, equipment and other administrative overhead or "shell" of the grantee. Generalized grantee activities (such as intake and program placement) not related to a specific program are included. This activity does not include administration or management directly linked to a specific project or program account; such administration should be included under the appropriate program account.

### 88. Highschool Equivalency Program (H-E-P) (312)

Preparing young migrant and seasonal farm workers, between 17 and 22 years of age, to obtain high school diplomas by passing the General Educational Development examination (GED). Participants attend special H-E-P classes on college campuses.

### 89. Migrant Education (312)

Providing educational services to adult migrant and seasonal farm workers, including adult basic education, prevocational training, vocational training, and other adult education services. Also includes educational services, other than those described in program account 88., Highschool Equivalency Program (H-E-P), to youths in families of migrant and seasonal farm workers.

### 90. Migrant Day Care (312)

Providing day care services to children of migrant and seasonal farm workers.

### 91. Migrant Self-Help Housing (312)

Providing housing units to migrant and seasonal farm workers under conditions in which the recipients provide some financial assistance and/or participate in the actual construction themselves.

### 92. Migrant Temporary Housing (312)

Providing temporary housing units; and rest room, shopping and other facilities to migrant and seasonal farm workers at rental or no cost.

### 93. Migrant Service Centers (312)

Providing information to migrant and seasonal farm workers on services and assistance they are entitled to and how they may obtain them themselves in the future as they move through the stream. Service Center personnel identify local sources of services, assistance, and information; develop contacts between workers and public and private agencies, and refer and escort workers to these sources.

### 94. Other Migrant Programs (312)

Providing services, other than those described in program accounts 87, 88, 89, 90, 91, 92, and 93, to migrant and seasonal farm workers, including consumer training and counseling, and health and sanitation projects.

### 95. Migrant Training, Technical Assistance, and Evaluation (314)

**Migrant Training.** Training related to projects approved under the authority of Section 312 and the purposes of Title III of the EOA. Training conducted under Section 230 is not included in this activity.

**Migrant Technical Assistance.** Technical assistance related to projects approved under the authority of Section 312 and the purposes of Title III of the EOA. Technical assistance conducted under Section 230 is not included in this activity.

**Migrant Evaluation.** Evaluation related to projects approved under the authority of Section 312 and the purposes of Title III of the EOA. Evaluation described in program account 97 is not included in this activity.

## P/A's—Activities Not Funded by OEO/CAP to CAA's

### 96. Follow Through (HEW)

Projects focused primarily upon children in kindergarten or elementary school who were previously enrolled in Head Start or similar programs and designed to provide comprehensive services and parent participation activities which will aid in the continued development of children to their full potential. FUNDS FOR THIS PROGRAM ARE TRANSFERRED TO THE DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE, AND IT IS NOT FINANCED AS A CAP ACTIVITY—GRANTEES SHOULD NOT APPLY TO CAP FOR THIS ACTIVITY.

### 97. Evaluation (Title II)

The investigation of programs authorized under Title II of the EOA, to determine their effectiveness in achieving stated goals, their impact on related programs, and their structure and mechanisms for the delivery of services. THIS IS NOT A GRANTABLE ACTIVITY—GRANTEES SHOULD NOT APPLY TO CAP FOR OR REPORT TO CAP ON THIS ACTIVITY. It should be distinguished from evaluation conducted under the authority of Section 222, related to national emphasis proj-

## PROGRAM ACCOUNTS . . .

ects approved under that section; see program accounts 21, 28, and 58. It should also be distinguished from other types of CAA evaluation, such as that carried out as part of a CAA's administration and management activities under Section 221; see program account 04.

## 98. Program Direction (Title II)

Providing for the support of the federal administrative staff required to achieve the goals and objectives of the Community Action Program, including the salaries and administrative expenses of CAP and Migrant program staffs in the seven regional offices and at headquarters. THIS IS NOT A GRANTEE ACTIVITY.

## Appendix F

### STANDARD CONTRACT FORM FOR DELEGATION OF PROGRAM ACCOUNT

This contract form shall be used in all cases in which the grantee delegates the performance of all or part of the functions described in a work program for which funding is approved.

This contract form includes the minimum OEO requirements with respect to the degree of supervision, control, and evaluation to be maintained by the grantee of OEO funds. Additional material may be added which restricts the power of the delegate agency, but any contract which gives greater power to the delegate agency must be approved by OEO prior to signature. The grantee will, in any event, be held responsible for the successful execution of the program, and must exercise the degree of supervision and control commensurate with that responsibility.

The grantee shall attach to this delegation contract a copy of all Grant Conditions appended to its grant from OEO.

#### AGREEMENT

#### FOR DELEGATION OF ACTIVITIES UNDER CAP GRANT NO. \_\_\_\_\_

This agreement entered into as of \_\_\_\_\_, 19\_\_\_\_, including attached conditions, shall govern certain activities of the \_\_\_\_\_ (name of program account for the delegated activities) financed under CAP Grant No. \_\_\_\_\_ during the period \_\_\_\_\_ to \_\_\_\_\_, which are to be carried out by \_\_\_\_\_ (name of delegate agency), hereinafter referred to as the "Delegate", on behalf of \_\_\_\_\_ (name of grantee), hereinafter referred to as the "Grantee."

The Grantee and Delegate agree as follows:

1. **WORK TO BE PERFORMED.** The Delegate shall, in a satisfactory manner as determined by the grantee, \_\_\_\_\_ (either "perform all activities for the \_\_\_\_\_ program account as approved in the OEO grant to the Grantee," or an explicit description of the Delegate's obligation).

2. **COMPLIANCE WITH APPROVED PROGRAM.** All activities authorized by this agreement will be performed in accordance with the approved work program, the approved budget, the grant conditions and relevant OEO directives.

3. **REPORTS, RECORDS & EVALUATIONS.** The Grantee shall supervise, evaluate, and provide guidance and direction to the Delegate in the conduct of activities delegated under this contract. The Delegate agrees to submit to the Grantee such reports as may be required by OEO directives or by the grantee, including reports on \_\_\_\_\_ according to the following schedule:  
(subjects)

\_\_\_\_\_ The Delegate also agrees to prepare and  
(dates)

retain, and permit the Grantee to inspect as it deems necessary for grant purposes (in addition to inspections authorized by the conditions in the grant from OEO) the following records: \_\_\_\_\_, as well as all other records that may be required by relevant OEO directives, with the exception of confidential client information. The Delegate further agrees that the Grantee may carry out monitoring and evaluation activities to include, at a minimum, \_\_\_\_\_, and will effectively ensure the cooperation of the Delegate's employees and board members in such efforts.

4. **CHANGES.** The Grantee may, from time to time, request changes in the scope of the services of the Delegate to be performed hereunder. Such changes, including any increase or decrease in the amount of the Delegate's compensation, which are mutually agreed upon by and between the Grantee and the Delegate, must be incorporated in written amendments to this contract.

5. **COMPLIANCE WITH LOCAL LAWS.** The Delegate shall comply with all applicable laws, ordinances, and codes of the state and local governments.

6. **COVENANT AGAINST CONTINGENT FEES.** The Delegate warrants that no person or selling agency or other organization has been employed or retained to solicit or secure this contract upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee. For breach or violation of this warrant the Grantee shall have the right to annul this contract without liability or, in its discretion, to deduct from the contract or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee, or to seek such other remedies as legally may be available.

7. **SCHEDULE OF PAYMENT.** Subject to receipt of funds from OEO, the Grantee agrees to reimburse the Delegate for authorized expenditures. An advance of \$\_\_\_\_\_ for estimated expenditures for \_\_\_\_\_ (months) will be made to the Delegate, who will submit to the Grantee vouchers that are sufficient to support payment under the Grantee's accounting procedures established or approved by the Grantee's accountant. Within \_\_\_\_\_ days the Grantee will approve or disapprove payment of the vouchers, and will make additional payments equal to the amount of such approved expenditures to the Delegate. In no event, however, will the Delegate receive reimbursement for personnel costs exceeding \$\_\_\_\_\_, or for non-personnel costs exceeding \$\_\_\_\_\_, except as it has received prior written authorization from the Grantee, which is incorporated into and shall be attached to this contract.

8. **TERMINATION.** The Grantee may, by giving reasonable written notice specifying the effective date, terminate this contract in whole or in part for cause, which shall include: (1) failure, for any reason, of the Delegate to fulfill in a timely and proper manner its obligations under this contract, including compliance with the approved

## DEL. CONTRACT . . .

program and attached conditions, and such statutes, Executive Orders, and OEO directives as may become generally applicable at any time; (2) submission by the Delegate to OEO or to the Grantee of reports that are incorrect or incomplete in any material respect; (3) ineffective or improper use of funds provided under this contract; and (4) suspension or termination by OEO of the grant to the Grantee under which this contract is made, or the portion thereof delegated by this contract. The Grantee may also assign and transfer this contract when required by OEO direction. If the Delegate is unable or unwilling to comply with such additional conditions as may be lawfully applied by OEO to the grant to the Grantee, the Delegate shall terminate the contract by giving reasonable written notice to the Grantee, signifying the effective date thereof. In such event the grantee may require the delegate to ensure that adequate arrangements have been made for the transfer of the delegated activities to another Delegate or to the Grantee. In the event of any termination, all property and finished or unfinished documents, data, studies, and reports purchased or prepared by the Delegate under this contract shall be disposed of according to OEO directives, and the Delegate shall be entitled to compensation for any unreimbursed expenses reasonably and necessarily incurred in satisfactory

performance of the contract. Notwithstanding the above, the Delegate shall not be relieved of liability to the Grantee for damages sustained by the Grantee by virtue of any breach of the contract by the Delegate and the Grantee may withhold any reimbursement to the Delegate for the purpose of set-off until such time as the exact amount of damages due the Grantee from the Delegate is agreed upon or otherwise determined.

If the Delegate has agreed to furnish part of the required non-Federal share, the following clause must be included:

9. NON-FEDERAL SHARE. The Delegate will contribute \$\_\_\_\_\_ to the program funds. Such contribution shall be in cash in the amount of \$\_\_\_\_\_, and in-kind in the amount of \$\_\_\_\_\_.

In witness whereof, the Grantee and the Delegate have executed this agreement as of the date first above written.

Delegate	Grantee
By: _____	By: _____
Position: _____	Position: _____

(The Grantee must ensure that the individual signing for the delegate agency is authorized by that agency's controlling body to commit the delegate agency to the terms of this contract.)

## Appendix G

### STANDARD CONTRACT FORM FOR DELEGATION OF COMPREHENSIVE HEALTH SERVICES PROGRAM ACCOUNT

This contract form shall be used in all cases in which the grantee delegates the performance of all or part of the functions described in a work program for which funding is approved.

This contract form includes the minimum OEO requirements with respect to the degree of supervision, control, and evaluation to be maintained by the grantee of OEO funds, and describes the relationship between the grantee and delegate agencies. To the extent outlined in the approved program and the terms of this sample agreement, the grantee will be held responsible for the successful execution of the program, and must exercise the degree of supervision and control commensurate with that responsibility.

The grantee shall attach to this delegation contract a copy of all Grant Conditions appended to its grant from OEO.

#### AGREEMENT FOR DELEGATION OF ACTIVITIES UNDER OAP GRANT NO. \_\_\_\_\_

This agreement entered into as of \_\_\_\_\_, 19\_\_\_\_, including attached conditions, shall govern certain activities of the Comprehensive Health Services Program Account financed under OAP Grant No. \_\_\_\_\_ during the period \_\_\_\_\_ to \_\_\_\_\_, which are to be carried out by \_\_\_\_\_ (name of delegate agency), hereinafter referred to as the "Delegate", on behalf of \_\_\_\_\_ (name of grantee), hereinafter referred to as the "Grantee."

The Grantee and Delegate agree as follows:

1. WORK TO BE PERFORMED. The Delegate shall, in a satisfactory manner, \_\_\_\_\_ (either

"perform all activities for the Comprehensive Health Services Program Account as approved in the OEO grant to the Grantee," or an explicit description of the Delegate's obligation).

2. COMPLIANCE WITH APPROVED PROGRAM. All activities authorized by this agreement will be performed in accordance with the approved work program, the approved budget, the grant conditions and relevant OEO directives.

3. REPORTS, RECORDS & EVALUATIONS. The Delegate agrees to submit to the Grantee such reports as may be required by OEO directives and by the grantee, including reports on, \_\_\_\_\_ according to the (subjects)

following schedule: \_\_\_\_\_ The Delegate also (dates)

agrees to prepare and retain, and permit the Grantee to inspect as it deems necessary for grant purposes (in addition to inspections authorized by the conditions in the grant from OEO) the following records: \_\_\_\_\_, as well as all other records that may be required by relevant OEO directives, with the exception of confidential client information. The Delegate further agrees that the Grantee may carry out monitoring and evaluation activities to include \_\_\_\_\_, and will effectively ensure the cooperation of the Delegate's employees and board members in such efforts.

4. CHANGES. With the prior approval of OEO, the Grantee may, from time to time, request changes in the scope of services of the Delegate to be performed hereunder. All requests originating from the delegate agency for changes in the work plan, appointments and budget as well as changes of project and medical director shall

## HEALTH CONTRACT . . .

be submitted by the delegate agency to the CAP Health Services Office in Washington, for action. A copy shall be sent simultaneously to the grantee for comment and recommendations which the Grantee will forward to the CAP Health Services Office within 15 days. Approval or disapproval of all changes requested by the Delegate are the responsibility of OEO. All such changes, including any increase or decrease in the amount of the Delegate's compensation shall be incorporated in written amendments to this contract.

5. COMPLIANCE WITH LOCAL LAWS. The Delegate shall comply with all applicable laws, ordinances, and codes of the state and local governments.

6. PROPERTY. Title to all property acquired with program funds shall be in the Delegate subject to the provisions of Grant Condition 5 of the General Conditions Governing OEO Comprehensive Health Service Grants.

7. COVENANT AGAINST CONTINGENT FEES. The Delegate warrants that no person or selling agency or other organization has been employed or retained to solicit or secure this contract upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee. For breach or violation of this warrant the Grantee shall have the right to annul this contract without liability or, in its discretion, to deduct from the contract or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee, or to seek such other remedies as legally may be available.

8. SCHEDULE OF PAYMENT. Subject to the receipt of funds from OEO, the Grantee agrees to reimburse the Delegate for authorized expenditures. An advance of \$----- for estimated expenditures for -----  
(months)

will be made to the Delegate who will submit to the Grantee vouchers that are sufficient to support payment under the Grantee's accounting procedures established or approved by the Grantee's accountant. Within ----- days the Grantee will approve or disapprove payment of the vouchers, and will make additional payments equal to the amount of such approved expenditures to the Delegate. In no event, however, will the Delegate receive reimbursement for personnel costs exceeding \$-----, or for non-personnel costs exceeding \$-----, except as prior written authorizations are received as set forth in paragraph 4. Such authorizations are incorporated into and are to be attached to this contract.

9. TERMINATION. The Grantee may, by giving reasonable written notice specifying the effective date, terminate this contract in whole or in part for cause, which shall include: (1) failure, for any reason, of the Delegate to fulfill in a timely and proper manner its obligations under this contract including compliance with the approved program and attached conditions, and such statutes, Executive Orders, and OEO directives as may become gen-

erally applicable at any time; (2) submission by the Delegate to OEO or to the Grantee of reports that are incorrect or incomplete in any material respect; (3) ineffective or improper use of funds provided under this contract; and (4) suspension or termination by OEO of the grant to the Grantee under which this contract is made, or the portion thereof delegated by this contract. The Grantee may also assign and transfer this contract when required by OEO direction. If the Delegate is unable or unwilling to comply with such additional conditions as may be lawfully applied by OEO to the grant to the Grantee, the Delegate shall terminate the contract by giving reasonable written notice to the Grantee signifying the effective date thereof. In such event the Grantee may require the Delegate to ensure that adequate arrangements have been made for the transfer of the care of patients including reasonable arrangements for the payment out of program funds of any costs involved. In the event of any termination, all property and finished or unfinished documents, data, studies and reports purchased or prepared by the Delegate under this contract shall be disposed of in accordance with OEO's instructions and the Delegate shall be entitled to compensation for any unreimbursed expenses reasonably and necessarily incurred in satisfactory performance of the contract. Notwithstanding the above, the Delegate shall not be relieved of liability to the Grantee for damages sustained by the Grantee by virtue of any breach of the contract by the Delegate and the Grantee may withhold any reimbursement to the Delegate for the purpose of set-off until such time as the exact amount of damages due the Grantee from the Delegate is agreed upon or otherwise determined.

10. REIMBURSEMENTS. Reimbursements from third party sources received by the Delegate will be applied in accordance with the provisions of the grant and OEO directives on program income. It is expected that \$----- of reimbursement will be received.

(If the Delegate has agreed to furnish part of the required non-Federal share, the following clause must be included):

11. NON-FEDERAL SHARE. The Delegate will contribute \$----- to the program funds. Such contribution shall be in cash in the amount of \$-----, and in-kind in the amount of \$-----.

In witness whereof, the Grantee and the Delegate have executed this agreement as of the date first above written.

Delegate	Grantee
By: -----	By: -----
Position: -----	Position: -----

(The grantee must ensure that the individual signing for the delegate agency is authorized by that agency's controlling body to commit the delegate agency to the terms of this contract.)

# Appendix H

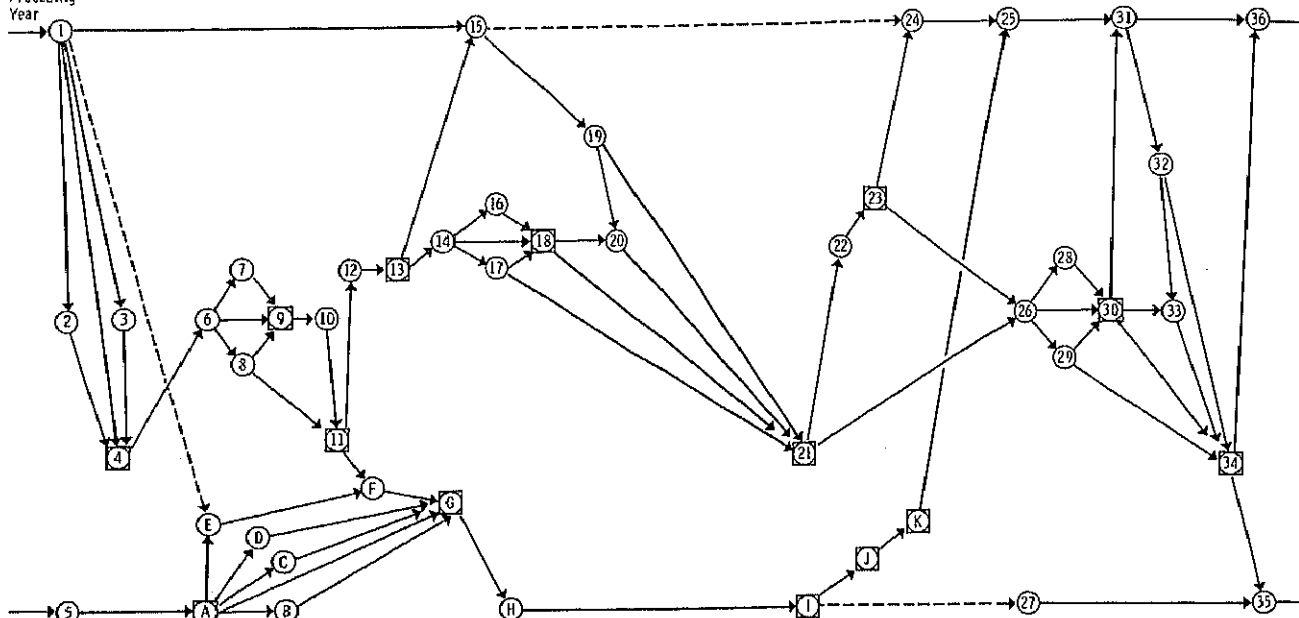
APPENDIX H

## DIAGRAM OF A COMMUNITY ACTION AGENCY PLANNING CYCLE FOR ONE CALENDAR YEAR

Continued

### EXAMPLE

Activities  
Continued from  
Preceding  
Year



Activities  
Continued from  
Preceding Year

### Key to diagram

### Activity description

- 1—2 Chief Planner (CP) prepares recommendations on topics for special planning studies and sends to other CAA staff (OS) for comment.

NOTE: All activity descriptions assume that appropriate internal CAA staff protocol is followed in transmittal of all documents, as in this case, the CP may transmit his recommendations to others through the CAA Director, or over the Director's signature rather than directly from himself. (In those CAAs with a small central staff the CAA Director or his Deputy may have the planning responsibilities, and perhaps application writing and other staff responsibilities as well.)

- 1—3 CP prepares recommendations on topics for special planning studies and sends to target area groups (TAG) for comment.  
1—4 CP prepares recommendations on topics for special planning studies and sends to Governing Board and Committees (GB) for review and action.  
5—A Grant application writer(s) (AW) prepares draft application for refunding of Foundation grant.  
2—4 OS prepare and submit comments on topics for special planning studies for GB review.  
3—4 TAG prepares and submits comments on topics for special planning studies for GB review.

### Key to diagram

### Activity description

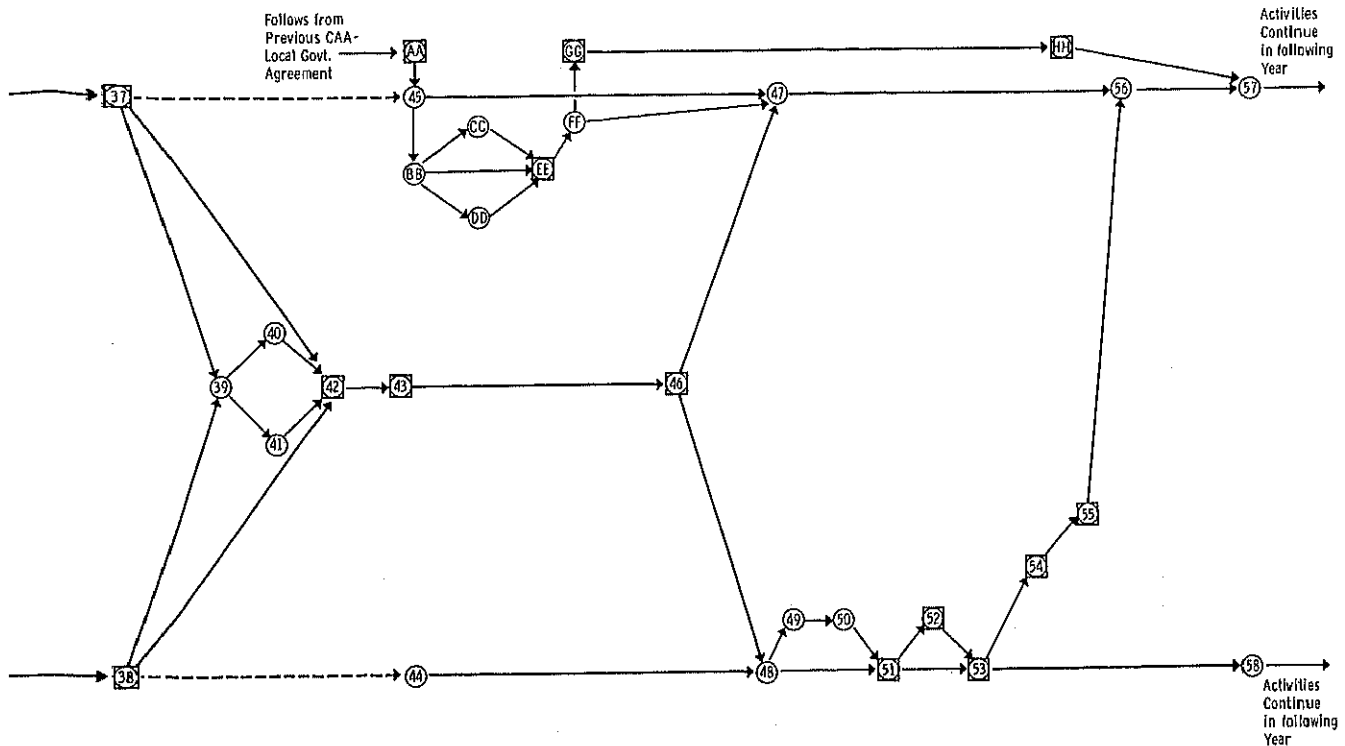
NOTE: As part of the CAA's planning work, it may provide assistance to TAG in developing and reviewing plans and proposals. Assignment of an "Advocate Planner" to one or more TAG is one way of providing such assistance. Training and other forms of technical assistance might also be provided by the CAA.

- 4—6 GB decides on topics for special planning studies and instructs CP to begin necessary work.

NOTE: This example assumes that the powers and responsibilities of the Governing Board and Principal Representative Board of the CAA reside in the same body. Other arrangements might require more complicated review and action procedures.

- 6—7 CP completes draft special studies and submits to other agencies' staffs for comment, as appropriate.  
6—8 CP completes draft special studies and submits to other CAA staff for comment.  
6—9 CP completes draft special studies and submits to GB for review and action.  
7—9 Other agencies (OA) prepare and submit comments on special study drafts for CP's guidance.  
8—9 OS prepare and submit comments on special study drafts for CP's guidance.  
8—11 OS prepare and submit comments on special study drafts for GB review.

# Continuation of CAA PLANNING CYCLE



## Key to diagram

- | Key to diagram | Activity description                                                                                                        |
|----------------|-----------------------------------------------------------------------------------------------------------------------------|
| 9—10           | CP completes and submits special study drafts with attached comments of other agencies to TAG for review and comment to GB. |
| 9—11           | CP completes and submits special study drafts with OA's comments attached to GB for review and action.                      |
| 10—11          | TAG prepare and submit comments on special study drafts for GB review.                                                      |
| 11—12          | GB approves studies for final drafting, with or without instructions for revision, and instructs CP on distribution.        |
| 11—F           | GB instructs AW on implications of special studies for Foundation grant refunding application.                              |
| 12—13          | CP completes revision and production of studies for authorized distribution.                                                |
| 13—14          | CP develops planning recommendations based on study findings and other information.                                         |
| 13—15          | CP reviews overall CAA program structure in light of new study findings.                                                    |
| 14—16          | CP completes and submits draft planning recommendations to OA for comments, as appropriate.                                 |
| 14—17          | CP completes and submits draft planning recommendations to OS for comment.                                                  |
| 14—18          | CP completes draft planning recommendations.                                                                                |
| 15—19          | CP prepares analysis of planning recommendations in relation to CAA goals, priorities, strategies, and objectives.          |
| 15—24          | Dummy Activity.                                                                                                             |

## Key to diagram

- | Key to diagram | Activity description                                                                                                                                |
|----------------|-----------------------------------------------------------------------------------------------------------------------------------------------------|
| 16—18          | OA prepare and submit comments on draft planning recommendations for CP's guidance.                                                                 |
| 17—18          | OS prepare and submit comments on draft planning recommendations for CP's guidance.                                                                 |
| 17—21          | OS prepare and submit comments on draft planning recommendations to GB for review.                                                                  |
| 18—20          | CP submits completed draft planning recommendations with attached comments of OA to TAG for review and comment.                                     |
| 18—21          | CP submits completed draft planning recommendations with attached comments of OA to GB for review and action.                                       |
| 19—20          | CP submits analysis of draft planning recommendations in relation to CAA goals and, priorities, strategies, and objectives to TAG for review.       |
| 19—21          | CP submits analysis of draft planning recommendations in relation to CAA goals, priorities, strategies, and objectives to GB for review and action. |
| 20—21          | TAG prepare and submit comments on draft planning recommendations to GB for review.                                                                 |
| 21—22          | GB approves recommendations for final                                                                                                               |



## Planning Cycle Activities . . .

Key to diagram	Activity description
	programming might be assigned to manpower specialist.)
22—23	CP completes revision and production of planning recommendations for authorized distribution.
23—24	CP begins revision of overall program structure plan to incorporate approved planning recommendations.
23—26	Programming begins to implement planning recommendations.
24—25	CP continues review and revision of overall program structure plan.
25—31	CP begins revision of overall program structure to accommodate approved Foundation grant refunding.
26—28	Draft program proposals for implementing planning recommendations submitted to OA for comment or action, as appropriate.
26—29	Draft program proposals for implementing planning recommendations submitted to OS for comment.
26—30	Draft program proposals completed.
27—35	AW begins preparation of materials needed for CAP grant funding request, including updating CAA eligibility information, as necessary.
28—30	OA prepare and submit comments on draft program proposals for drafter's guidance.
29—30	OS prepares and submits comments on draft program proposals for drafter's guidance.
29—34	OS prepares and submits comments on draft program proposals for GB review and action.
30—31	Drafter submits completed draft program proposals with attached comments of OA to CP for review and comment.
30—33	Drafter submits completed draft program proposals with attached comments of OA to CP for review and comment.
30—34	Drafter submits completed draft program proposals with attached comments of OA to GB for review and action.
31—32	CP reviews draft program proposals for consistency with CAA program structure and goals, priorities, strategies, and objectives.
32—33	CP submits comments on consistency of draft program proposals with CAA program structure and goals, priorities, strategies, and objectives to TAG for review.
32—34	CP submits comments on consistency of draft program proposals with CAA program structure and goals, priorities, strategies, and objectives to GB for review.
33—34	TAG prepare and submit comments on draft program proposals for GB review.
34—35	GB approves program proposals and instructs AW on including some or all proposals, with or without revision, in CAP grant funding request or other applications.
34—36	GB approves program proposals and instructs CP on incorporation of proposals in overall program structure plan, and in CAP Form 81, "CAA Plans and Priorities."
35—38	AW completes preliminary draft of CAP grant funding request materials in preparation for Prereview.

## Key to diagram

Activity description
36—37 CP completes draft of "CAA Plans and Priorities."
37—39 CP submits draft "CAA Plans and Priorities" to OS and TAG for review.
NOTE: This activity assumes that submission of plans and work programs by delegate agencies involved, as well as completion of draft materials by OS, have occurred earlier. Proposals from TAG and OA should also have been received.
37—42 CP submits draft "CAA Plans and Priorities" to GB for concurrence in use for prereview with OEO.
37—45 Dummy Activity.
38—39 AW submits preliminary draft of CAP grant funding request materials to OS and TAG for review.
NOTE: This activity assumes that submission of plans and work programs by delegate agencies involved, as well as completion of draft materials by OS, have occurred earlier. Proposals from TAG and OA should also have been received.
38—42 AW submits preliminary draft of CAP grant funding request materials to GB for concurrence in use for Prereview.
38—44 Dummy Activity.
39—40 OS review drafts of "CAA Plans and Priorities" and other grant funding request materials.
39—41 TAG review drafts of "CAA Plans and Priorities" and other grant funding request materials.
40—42 OS submit comments on drafts of "CAA Plans and Priorities" and other grant funding request materials to GB.
41—42 TAG submit comments on draft of "CAA Plans and Priorities" and other grant funding request materials to GB.
42—43 GB submits "CAA Plans and Priorities" to OEO and holds further discussions in preparation for Prereview.
43—46 CAA participates with CAP Field Representative in Prereview discussions.
44—48 AW prepares and reviews CAP grant funding request materials as required, and participates in Prereview discussions, as appropriate.
45—47 CP prepares and reviews "CAA Plans and Priorities" as required, and participates in Prereview discussions, as appropriate.
46—47 CAA Director receives Letter of Understanding from OEO and instructs CP to begin review and revision of program structure and goals, priorities, strategies, and objectives in light of prereview agreements.
46—48 CAA Director receives Letter of Understanding from OEO and instructs AW on completion of CAP grant funding request for submission to OEO.
47—56 CP reviews and revises program structure plan and statements of goals, priorities, strategies, and objectives.
48—49 AW submits CAP grant funding request to State OEO and OA for review and comment, as required.

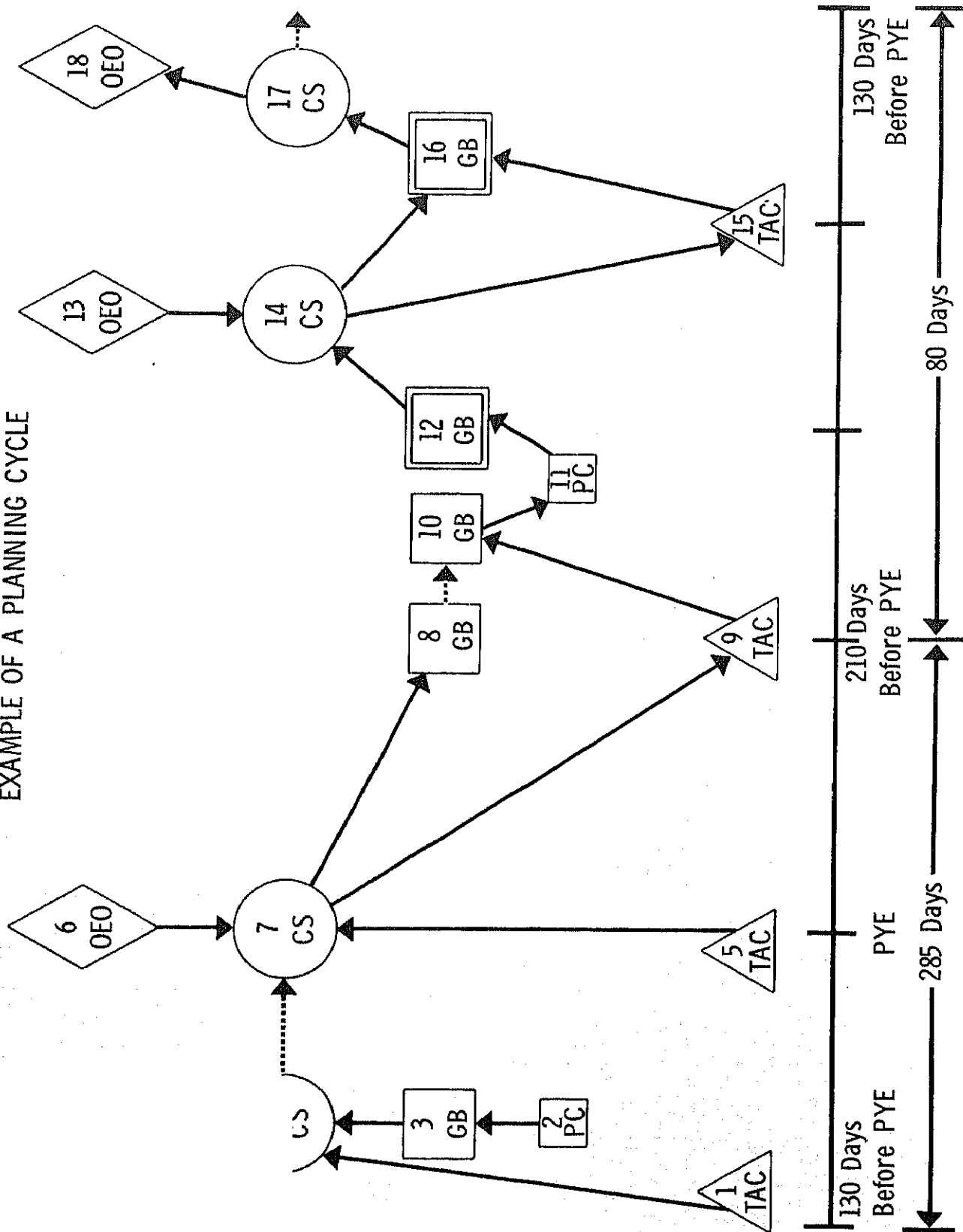
## Planning Cycle Activities . . .

Key to diagram	Activity description
48—51	AW produces final CAP grant funding request materials.
49—50	OA and TAG review CAA's CAP grant funding request and prepare comments for attachment.
50—51	OA and TAG return comments for attachment to CAP grant funding request.
51—52	GB holds open Board meetings on the CAP grant funding request, as appropriate and required.
51—53	AW completes production of CAP grant funding request materials, incorporating any final changes required by the GB.
52—53	GB approves CAP grant funding request for submission to OEO.
53—54	CAA Director responds to OEO questions as required.
53—58	AW resumes other assigned work.
54—55	GB receives CAP Statement of Grant; reviews special conditions, and accepts grant.
55—58	CAA Director instructs CP on incorporating any changes in the grant funding request contained in the CAP Statement of Grant and special conditions in revision of program structure and goals, priorities, strategies, and objectives, as necessary.
56—57	CP resumes continuing planning work.
57—	Activities continue in following year, some being repeated in the same sequence while others are dropped or added to the work of the CP.
58—	Activities continue in following year, some being repeated in the same sequence while others are dropped or added to the work of the AW.
1—E	Dummy Activity.
A—B	AW submits draft application for Foundation grant refunding to OA for review and comment, as appropriate.  NOTE: This activity assumes that submission of plans and work programs by delegate agencies involved, as well as completion of draft materials by OS, have occurred earlier. Proposals from TAG and OA should also have been received.
A—C	AW submits draft application for Foundation grant refunding to TAG for review and comment.
A—D	AW submits draft application for Foundation grant refunding to OS for review and comment.
A—E	AW submits draft application for Foundation grant refunding to CP for review and comment on consistency with program structure and goals, priorities, strategies, and objectives.
A—G	AW submits draft application for Foundation grant refunding to GB for review and action.
B—G	OA submit comments on draft application for Foundation grant refunding to GB, through AW, for review.

## Key to diagram

Key to diagram	Activity description
C—G	TAG submit comments on draft application for Foundation grant refunding to GB for review.
D—G	OS submit comments on draft application for Foundation grant refunding to GB for review.
E—F	CP reviews draft application for Foundation grant refunding for consistency with program structure and goals, priorities, strategies, and objectives.
F—G	CP submits comments on draft application for Foundation grant refunding to GB for review.
G—H	GB reviews and approves draft application for Foundation grant refunding and instructs AW to prepare application, with or without changes, for submission to the Foundation.
H—I	AW completes application for Foundation grant refunding.
I—27	Dummy Activity.
I—J	GB submits application for Foundation grant refunding to the Foundation.
J—K	GB receives Foundation approval of application, with or without special conditions; reviews and accepts the grant.
K—25	CAA Director instructs CP on incorporating Foundation grant into program structure and goals, priorities, strategies, and objectives.
AA—45	OA submits plan to CAA, through CAA Director to CP, for review and comment.
45—BB	CP prepares draft comments on OA plans.
BB—CC	CP submits copies of OA plan, with his comments attached, to OS for review and comment.
BB—DD	CP submits copies of OA plan, with his comments attached, to TAG for review and comment.
BB—EE	CP submits his draft comments, with copies of the OA plan, to the GB for review and action.
CC—EE	OS submit comments on OA plan to GB for review.
DD—EE	TAG submit comments on OA plan to GB for review.
EE—FF	GB reviews and approves comments, with or without change, and instructs the CP on transmittal to the OA and distribution of comments (e.g., in neighborhoods, to media, to Federal Agency).
FF—47	CP takes GB action into consideration in review and revision of program structure and goals, priorities, strategies, and objectives.
FF—GG	CP prepares final comments and transmits and distributes them according to GB instructions.
GG—HH	OA considers CAA comments in making further decisions on its plan.
HH—57	CP takes OA's completed plan into consideration in reviewing and revising program structure and goals, priorities, strategies, and objectives.

## EXAMPLE OF A PLANNING CYCLE



# Appendix I

## KEY TO DIAGRAM

### I. Key to Participants

OEO=Office of Economic Opportunity  
 CS=Central Staff  
 GB=Governing Board  
 PC=Planning Committee of Governing Board  
 TAC=Target Area Councils (8, 1 per target area)

### II. Key to Activities

Activity	Description of Activity
1—4	Target Area Councils suggest topics for studies and evaluations to Central Staff
2—3	Planning Committee recommends topics for studies and evaluations to Governing Board
3—4	Governing Board reviews Planning Committee recommendations and submits final recommendations for studies and evaluations to Central Staff
4—7	Indicates passage of time during which Central staff conducts special studies and evaluations, based on TAC and GB suggestions and on staff-generated suggestions
5—7	Target Area Councils submit results of evaluations conducted locally in target areas to Central Staff
6—7	OEO submits evaluation findings (from consultant reports, on-site evaluations, inspection trips) to Central Staff
7—8	Central staff completes studies and evaluations and submits results of internal and external findings to Governing Board
7—9	Central staff completes studies and evaluations and submits results of internal and external findings to Target Area Councils
8—10	Indicates passage of time
9—10	Target Area Councils submit recommendations on plans, priorities, and programs to Governing Board

### II. Key to Activities—Continued

Activity	Description of Activity
10—11	Governing Board submits findings of Central staff and recommendations of Target Area Councils to Planning Committee for review
11—12	Planning Committee submits recommendations on plans, priorities, and programs to Governing Board
12—14	Governing Board submits final recommendations on plans, priorities and programs to Central Staff
13—14	OEO submits most recent funding and program guidance to Central Staff
14—15	Central Staff prepares and submits CAP Form 81, CAA Plans and Priorities, to Target Area Councils
14—16	Central Staff prepares and submits CAP Form 81, CAA Plans and Priorities, to Governing Board
15—16	Target Area Councils sign CAP 81 (or refuse to concur and attach comments) and submits CAP 81 to Governing Board. Major Policy Advisory Committee for Head Start (not shown) also signs CAP 81 at this time
16—17	Governing Board signs CAP 81 (or specifies changes to be made by Central Staff) and submits to Central Staff
17—18	Central Staff submits final CAP 81 to OEO
17—	Central Staff begins special studies and evaluations for use in requested program year +1, thus beginning next annual planning cycle

## Appendix J

### Federal Civil Rights Policy

The following documents contain Federal civil rights policy:

1. Civil Rights Act of 1964 (P.L. 88-352)  
Age Discrimination in Employment Act (P.L. 90-202)  
Civil Rights Act of 1968 (P.L. 90-284)
2. Executive Orders Nos. 11246, 11247, 11375
3. Obligations of Contractors and Subcontractors (45 CFR 60-1)
4. Nondiscrimination in Federally Assisted Programs of the Office of Economic Opportunity—Effectuation of Title VI of the Civil Rights Act of 1964 (45 CFR 1010)
5. *Compliance Officers Manual* (prepared by the U.S. Commission on Civil Rights) <sup>1</sup>
6. Publications Catalog (prepared by the U.S. Commission on Civil Rights) <sup>1</sup>

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<sup>1</sup> Available from GPO.

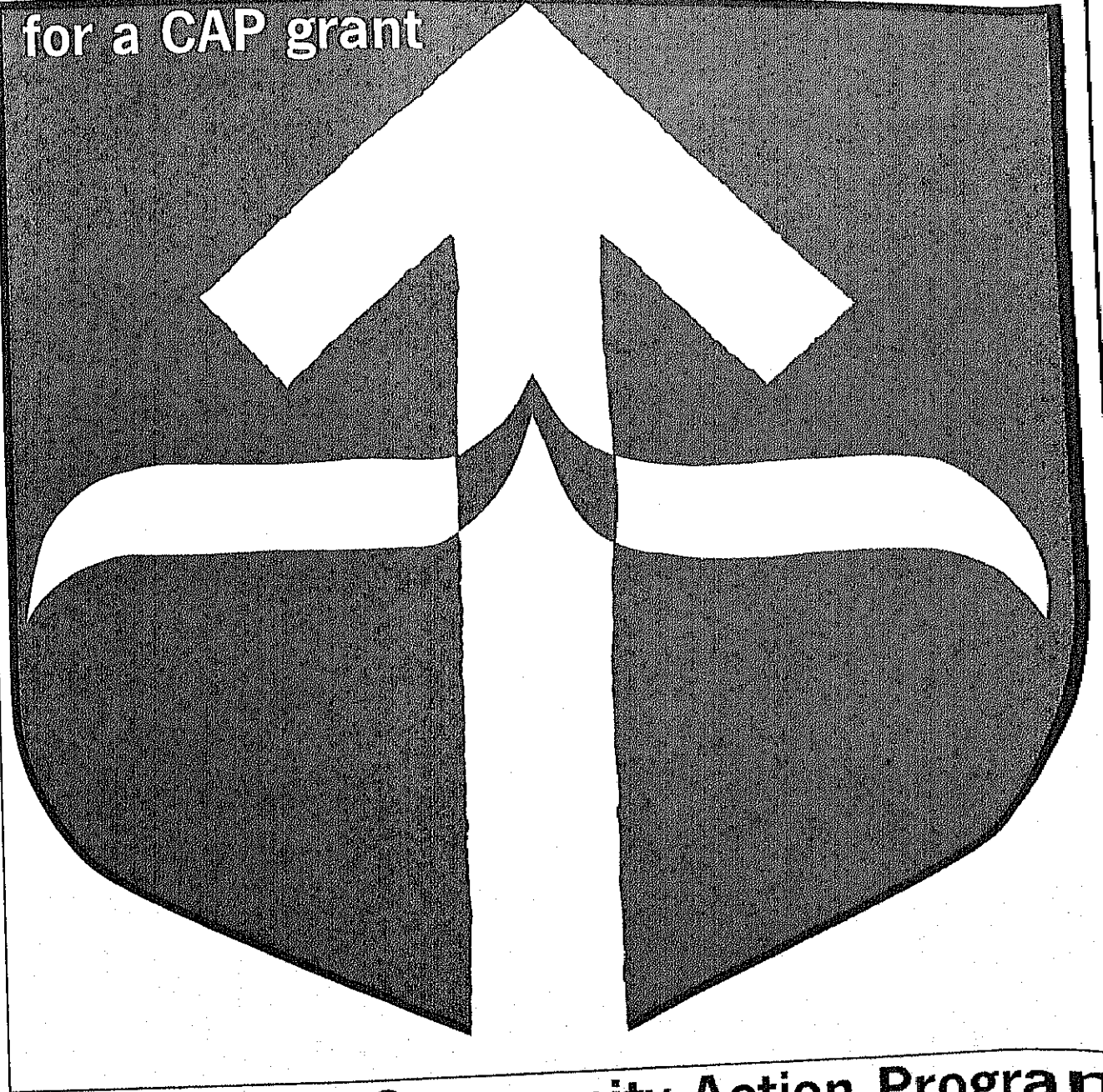




# APPLYING

OEO STAFF INSTRUCTION 6710-1  
AUGUST 1968

for a CAP grant



**Community Action Program**  
office of economic opportunity

**STAFF SUPPLEMENT**

RETURN TO GOV. DOCS. CLERK





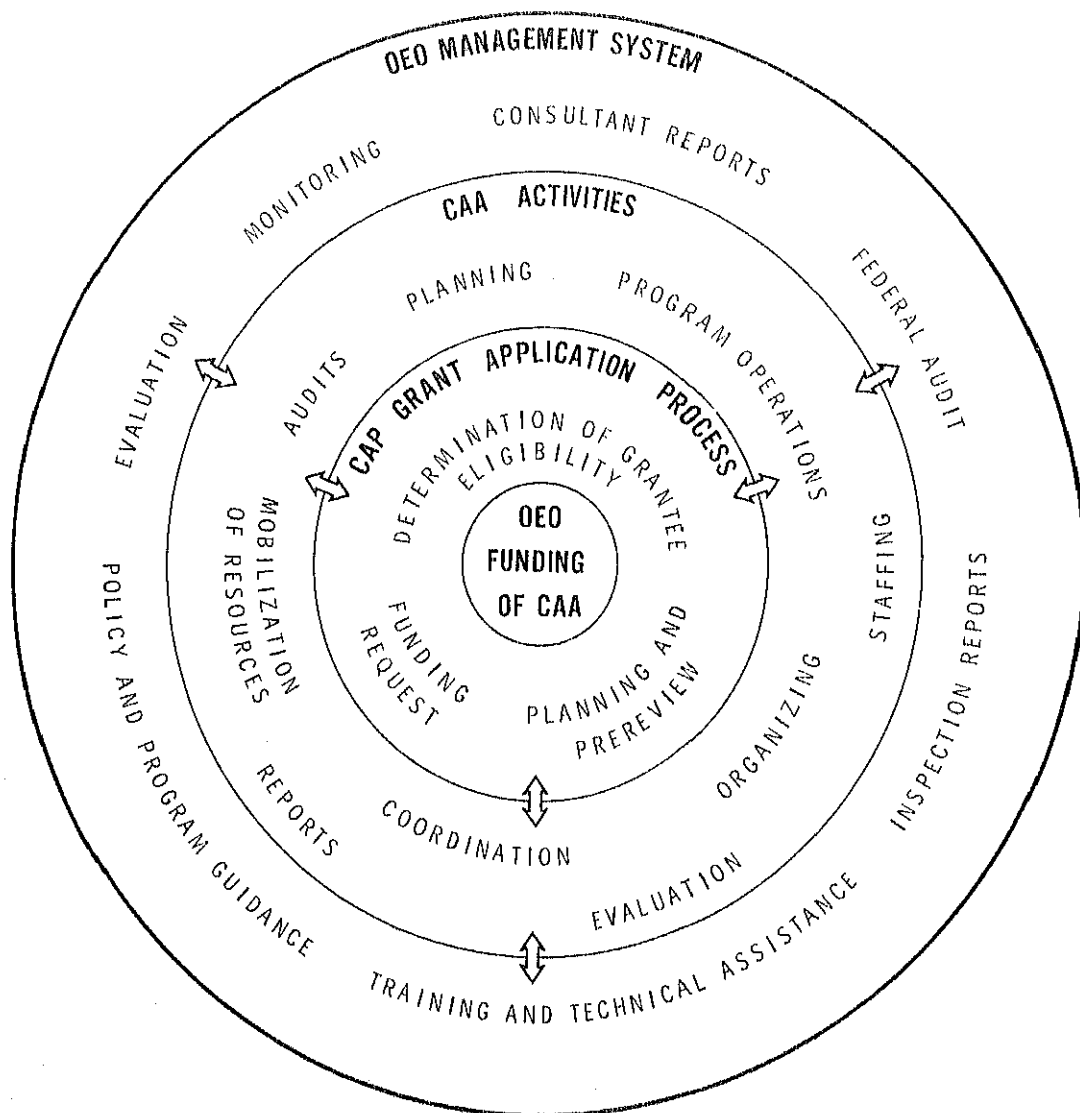
## **STAFF SUPPLEMENT**

# **Applying for a CAP Grant**

**Community Action Program  
Office of Economic Opportunity**

**July 1, 1968**

## OEO/CAA MANAGEMENT SYSTEM



This Exhibit illustrates the basic management functions and elements in the OEO/CAA Management System. The two-way arrows in the circular diagram indicate the interrelationship and interdependence of all elements in the management system and how OEO and the CAA affect and in turn are affected by each other.

At the heart of the management system is OEO approval of a community action program. The approval results from the grant application process, an intensification of the field representative's continuing relationship with the CAA. During the process, the grantee's eligibility to receive funds is reaffirmed, and the CAA's program is planned and formally delineated in the funding request. Once

the CAA is funded, it begins program operations, which are influenced by OEO program and policy guidance and which help determine some of the management steps OEO must take to fulfill grantee needs.

Some elements in the management system, such as training and technical assistance, represent tools available to the field representative in meeting his responsibilities to the CAA. Others, such as on-site evaluations, are management functions in which the field representative participates. Still others, such as monthly financial reports and consultant reports, provide information the field representative uses to assess CAA performance and to determine the nature of OEO support the CAA requires to operate more effectively.

# PREFACE

This staff supplement amplifies for OEO staff certain of the instructions contained in "Applying for a CAP Grant" and provides explanations and additional instructions for certain CAP forms. It is being issued in loose leaf form to allow for its use as a separate handbook or to be interlaced throughout the CAA manual.

Since these instructions augment but do not repeat those for the CAA, they must be used in conjunction with "Applying for a CAP Grant."

Where supplementary OEO staff instructions are not provided, CAA instructions are considered sufficient for OEO purposes as well.

The primary focus of the supplement is on the role and function of the field representative in the grant application process. Though detailed instructions are not provided for other Regional Office and Headquarters personnel, their involvement at various points in the process is indicated where appropriate.

## Grantee Information File and Determination of Grantee Eligibility

OEO reconfirms annually the eligibility of a CAA to continue to receive OEO funds to operate a community action program. Grantee eligibility is determined both through the field representative's first-hand knowledge of the CAA's performance and through the review, analysis and assessment of a number of documents and reports.

During the course of a grantee's program year, the several reports, documents, funding and amendment requests, memoranda and letters concerning the grantee constitute the formal record of its activities. These records, along with all other basic information on a grantee's organization, administration, and compliance with legislative and OEO policies are maintained for every grantee in a **Grantee Information File** located in the appropriate Regional or Headquarters office.

The primary purpose of the Grantee Information File is to support the decision-making processes by which OEO evaluates and approves grants. A second purpose for the file is to permit orderly and timely responses to information queries throughout the year. The third purpose is to support the other OEO management processes, particularly grant monitoring and evaluation. The centrally maintained file contains the essential information required to perform in-house assessments of a grantee's overall operations and performance, and to prepare for on-site evaluations.

The internal organization of grantee records within each information file, as well as the location of the file will vary from office to office. All files within any given office, however, should be uniform. It is also important that all Regional or Headquarters office personnel requiring information about grantees have knowledge of and access to the central files.

OEO assessment of the eligibility of a CAA to receive and administer OEO funds is documented on a special form, Verification of Grantee Eligibility, CAP Form 86, prepared by the field representative. This form has a dual purpose: (1) it provides a checklist of both documentary and judgmental factors contributing to an annual summary assessment of CAA performance and basic eligibility for continued OEO/CAP funding; and (2) it helps identify grantees that are **clearly ineligible** for OEO funding. A finding of less than satisfactory performance in one or a few areas does not necessarily mean that a grantee is ineligible to receive and administer OEO funds.

The CAP 86 contains two types of checklists. The first pertains to the submission by the CAA of required forms, reports and documents throughout the year. This checklist is used primarily to determine that the CAA is complying with OEO grant application and reporting requirements and that the information contained in the required documents is sufficiently clear and detailed to permit OEO to understand basic aspects of the CAA's organization, management and operations. The checklist does not in and of itself provide the information needed to determine grantee eligibility.

The second checklist is designed for the field representative and District Supervisor to assess CAA performance in certain **key** areas of CAA operations. It is in the appraisal of CAA performance that the judgments of the field representative and District Supervisor become particularly significant, for this assessment provides the basis for the determination of grantee eligibility for further funding. The overall evaluation of grantee performance is based upon an analysis of the information contained in reports and documents submitted

by the CAA and the personal knowledge of the CAA gained by the field representative and District Supervisor through visits to the CAA.

The CAP 86 is maintained throughout the CAA's program year. The Regional Office keeps the form up to date by noting on it the dates required documents are received and action is completed. The CAP 86 is kept with the Grantee Information File as a convenient index to documents on file for the use of Regional or Headquarters personnel requiring information about the CAA.

About 30 days prior to the field prereview visit, the field representative begins to review the contents of the Grantee Information File as noted on the CAP 86. At this time, using the CAP 86 as a worksheet, he evaluates grantee performance in four areas: organization and management, financial operations, program planning, and pro-

gram operations. This preliminary assessment highlights areas in which the CAA may be weak or for which available information is inadequate. It pinpoints subjects requiring detailed discussion during the prereview visit. The District Supervisor reviews the field representative's evaluation as shown on the CAP 86, and together the field representative and District Supervisor make a preliminary determination of eligibility.

Following the prereview and at the time the funding request is submitted, the CAP 86 is reviewed and completed in final form. It is at this point, no later than 60 days before the CAA's program year end, that the field representative and District Supervisor make a final determination of eligibility. The field representative also uses the ratings of CAA performance he has made on the CAP 86 as the basis for the narrative Assessment of CAA Eligibility and Performance included as Section IV of the Highlight Memorandum.

## OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM

## VERIFICATION OF GRANTEE ELIGIBILITY

Form Used For

☐ PREREVIEW  
WORKSHEET

DATE PREPARED \_\_\_\_\_

☐ VERIFICATION OF  
ELIGIBILITY

DATE PREPARED \_\_\_\_\_

COMMUNITY ACTION AGENCY \_\_\_\_\_

GRANT NO. \_\_\_\_\_

PRESENT P/Y BEGAN \_\_\_\_\_

ENDS \_\_\_\_\_

## SECTION I.

## ORGANIZATION AND MANAGEMENT

## A. DOCUMENTS ON FILE

ON FILE  
DATEACTION  
REQUIRED  
DATEACTION  
COMPLETED  
DATE

## 1. ONE-TIME SUBMISSIONS (Updated as required)

- a. CAP FORM 69, STATEMENT OF INTENTION TO DESIGNATE
- b. CAP FORM 70, APPLICATION FOR RECOGNITION
- c. CAP FORM 72, ATTORNEY'S CERTIFICATION  
CAP FORM 4, ELIGIBILITY OF APPLICANT
- d. CAP FORM 73, APPLICATION FOR DESIGNATION - LOCAL CIVIL SERVICE  
AGENCY'S CERTIFICATION
- e. CAP FORM 74, NOTICE TO POLITICAL SUBDIVISION
- f. CAP FORM 75, CERT. OF COMPLIANCE SEC. 211 OF THE 1967 AMENDS.
- g. ARTICLES OF INCORPORATION OR CHARTER

## 2. ANNUAL SUBMISSIONS (Updated as required)

- a. CAP FORM 3, COMMUNITY ACTION AGENCY BASIC INFORMATION
- b. BY-LAWS OR RULES OF ORGANIZATION
- c. CAP FORM 11, COMPLIANCE WITH CIVIL RIGHTS ACT (CAA)
- d. CERTIFICATION OF PUBLIC HEARING
- e. PERSONNEL POLICIES AND PROCEDURES
- f. CERTIFICATION OF WAGE COMPARABILITY
- g. LIST OF EMPLOYEES EARNING \$10,000 OR MORE
- h. BIOGRAPHIC DATA ON KEY STAFF EMPLOYEES
- i. CAP FORM 87, DELEGATE AGENCY BASIC INFORMATION  
NO. OF DELEGATE AGENCIES \_\_\_\_\_ NO. OF FORMS \_\_\_\_\_
- j. CAP FORM 11, COMPLIANCE WITH CIVIL RIGHTS ACT (Delegate Agencies)  
NO. OF DELEGATE AGENCIES \_\_\_\_\_ NO. OF FORMS \_\_\_\_\_

3. OEO ASSESSMENT OF CAA ORGANIZATION AND  
MANAGEMENTSATIS-  
FACTORYUNSATIS-  
FACTORYINADEQUATE  
BASIS FOR  
JUDGMENTEXPLANATION  
(Highlight Memo  
Page)

- 1. PRINCIPAL REPRESENTATIVE BOARD MEMBERSHIP IS CLEARLY  
DEFINED, COMPOSITION MEETS OEO REQUIREMENTS, ROLE IN  
POLICY-MAKING IS DEFINED AND EXECUTED.
- 2. ORGANIZATION STRUCTURE, COMPOSITION OF BOARDS, COUN-  
CILS AND COMMITTEES, AND BASIC MANAGEMENT CAPABILITY.
- 3. CAA UNDERSTANDING AND FULFILLMENT OF ITS ROLE  
AS AN ADVOCATE OF THE POOR.
- 4. QUALITY AND EFFECTIVENESS OF PARTICIPATION BY THE  
POOR IN POLICY DECISIONS.
- 5. PERSONNEL POLICIES AND PROCEDURES MEET OEO REQUIRE-  
MENTS, ARE DEFINED, UNDERSTOOD AND ENFORCED.
- 6. STAFF CAPABILITY TO ADMINISTER OEO FUNDED PROGRAMS.
- 7. COMPLIANCE WITH EXISTING CIVIL RIGHTS LEGISLATION.  
NO DISCRIMINATION ON THE BASIS OF RACE, CREED, COLOR  
OR NATIONAL ORIGINS.
- 8. RESPONSIVENESS TO OEO REPORTING REQUIREMENTS.

COMMUNITY ACTION AGENCY	GRANT NO.
-------------------------	-----------

**SECTION II. FINANCIAL OPERATIONS**

A. DOCUMENTS ON FILE	ON FILE DATE	ACTION REQUIRED DATE	ACTION COMPLETED DATE																																				
1. ONE-TIME SUBMISSIONS <i>(Updated as required)</i>																																							
a. STATEMENT OF ACCOUNTING SYSTEM																																							
b. PRELIMINARY AUDIT SURVEY AND RESPONSE																																							
2. ANNUAL SUBMISSIONS <i>(Updated as required)</i>																																							
a. STATEMENT OF CURRENT BOND																																							
b. INDEPENDENT AUDIT REPORT AND CAA RESPONSE																																							
c. FEDERAL AUDIT REPORT <i>(if any)</i> AND CAA RESPONSE																																							
d. INTERIM ADMINISTRATIVE COST REPORT																																							
e. FINAL ADMINISTRATIVE COST REPORT																																							
f. CAP FORM 15, GRANTEE MONTHLY FINANCIAL REPORT <i>(Final-Previous P/Y)</i>																																							
g. CAP FORM 28, UNEXPENDED FEDERAL FUNDS REPORT <i>(Final-Previous P/Y)</i>																																							
h. SIGNATURE CARD <i>(If required)</i>																																							
3. MONTHLY SUBMISSIONS																																							
a. CAP FORM 15, FINANCIAL REPORTS	<table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <tr> <th colspan="12">MONTH</th> </tr> <tr> <td>1</td><td>2</td><td>3</td><td>4</td><td>5</td><td>6</td><td>7</td><td>8</td><td>9</td><td>10</td><td>11</td><td>12</td> </tr> <tr> <td>13</td><td>14</td><td>15</td><td colspan="9"></td> </tr> </table>			MONTH												1	2	3	4	5	6	7	8	9	10	11	12	13	14	15									
MONTH																																							
1	2	3	4	5	6	7	8	9	10	11	12																												
13	14	15																																					

B. OEO ASSESSMENT OF CAA FINANCIAL OPERATIONS	SATIS-FACTORY	UNSATIS-FACTORY	INADEQUATE BASIS FOR JUDGMENT	EXPLANATION <i>(Highlight Memo Page)</i>
1. ACCOUNTING SYSTEM, FINANCIAL RECORD KEEPING, INTERNAL FINANCIAL REPORTING, AND FINANCIAL PRACTICES AND PROCEDURES.				

**SECTION III. PROGRAM PLANNING**

A. DOCUMENTS ON FILE	ON FILE DATE	ACTION REQUIRED DATE	ACTION COMPLETED DATE
1. ANNUAL SUBMISSIONS			
a. CAP FORM 5, COMMUNITY INFORMATION			
b. CAP FORM 81, COMMUNITY ACTION AGENCY PLANS AND PRIORITIES			

B. OEO ASSESSMENT OF CAA PLANNING	SATIS-FACTORY	UNSATIS-FACTORY	INADEQUATE BASIS FOR JUDGMENT	EXPLANATION <i>(Highlight Memo Page)</i>
1. PLANNING CAPABILITIES				
2. PLANNING PROCEDURES INCLUDING ASSESSMENT OF COMMUNITY NEEDS AND RESOURCES, INVOLVEMENT OF TARGET AREA RESIDENTS, AND COORDINATION WITH OTHER COMMUNITY PLANNING AGENCIES.				
3. MOBILIZATION OF COMMUNITY RESOURCES				

**SECTION IV. PROGRAM OPERATIONS**

A. DOCUMENTS ON FILE	ON FILE DATE	ACTION REQUIRED DATE	ACTION COMPLETED DATE																
1. ANNUAL SUBMISSIONS <i>(Updated as required)</i>																			
a. CAA SELF-EVALUATION																			
b. EVIDENCE OF COMPLIANCE WITH SPECIAL CONDITIONS <i>(If any required)</i>																			
2. QUARTERLY SUBMISSIONS <i>(Every 3 months of program year)</i>	<table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <tr> <th colspan="8">QUARTERS</th> </tr> <tr> <td>1ST</td><td>2ND</td><td>3RD</td><td>4TH</td><td>5TH</td><td>6TH</td><td>7TH</td><td>8TH</td> </tr> </table>			QUARTERS								1ST	2ND	3RD	4TH	5TH	6TH	7TH	8TH
QUARTERS																			
1ST	2ND	3RD	4TH	5TH	6TH	7TH	8TH												
a. PROGRAM PROGRESS REPORT																			
b. NARRATIVE SUMMARY REPORT																			
c. PARTICIPANT CHARACTERISTICS REPORTS																			

## SECTION IV. (Continued)

## PROGRAM OPERATIONS

B. OEO ASSESSMENT OF CAA PROGRAM OPERATIONS	SATIS- FACTORY	UNSATIS- FACTORY	INADEQUATE BASIS FOR JUDGMENT	EXPLANATION (Highlight Merit Page)
1. PROGRAM EFFECTIVENESS IN ACHIEVING OBJECTIVES.				
2. ARE EXPENDITURES IN PROPORTION TO PROGRAM ACCOMPLISHMENTS?				
3. COORDINATION BETWEEN CAA FUNDED PROGRAMS.				
4. COORDINATION BETWEEN CAA FUNDED PROGRAMS AND OTHER RELEVANT COMMUNITY PROGRAMS.				
5. QUALITY AND EFFECTIVENESS OF EMPLOYMENT, TRAINING AND PROVISION FOR ADVANCEMENT OF POVERTY EMPLOYEES.				
6. TRAINING THE POOR TO ASSUME RESPONSIBILITY FOR PROGRAM OPERATIONS AND DELEGATION OF SUCH RESPONSIBILITIES TO POVERTY GROUPS.				
7. PROGRAM EVALUATION, INCLUDING PARTICIPATION BY THE POOR.				

## SECTION V.

## OEO REPORTS

A. DOCUMENTS ON FILE		ON FILE DATE
1. ON-SITE EVALUATION REPORT		
2. FIELD REPRESENTATIVE VISIT REPORTS	NO. OF VISITS _____	
3. CONSULTANT REPORTS (Identify consultant and purpose.)		
4. INSPECTION REPORTS (Identify purpose of visit and findings.)		
PURPOSE	SATISFACTORY	UNSATISFACTORY

## SECTION VI.

## VERIFICATION OF ELIGIBILITY

A. Does the field representative recommend that the CAA be found qualified to receive and administer OEO funds?

☐ YES ☐ NO

B. Does the District Supervisor recommend that the CAA be found qualified to receive and administer OEO funds?

☐ YES ☐ NO

SIGNATURE OF FIELD REPRESENTATIVE

DATE

SIGNATURE OF DISTRICT SUPERVISOR

DATE



# Instructions for Completing Verification of Grantee Eligibility, CAP Form 86

The Verification of Grantee Eligibility, CAP Form 86, is maintained on an annual basis as a checklist for CAA reports and documents on file in the Regional or Headquarters Office. It is also used twice during the grant application process: once as a worksheet prior to the field prereview, when a preliminary determination of eligibility is made; then for the formal determination of CAA eligibility to receive OEO/CAP funds and in conjunction with the narrative assessment of grantee performance included in the Highlight Memorandum.

The CAP 86 contains two types of checklists. One relates to documents on file, the second to the field representative's judgment of the grantee.

The checklist relating to documents on file is completed when documents are received, as follows:

As the CAA submits required reports, forms and documents, the date of receipt in the Regional Office is noted under "On File Date." If the submission is complete and acceptable, no further notation need be made on the form. If additional information is required, the date the grantee is informed is entered under "Action Required Date." When the requested information is received, the date of receipt is shown under "Action Completed Date."

The checklist for the assessment of CAA performance is completed by the field representative before prereview and again when the formal decision on grantee eligibility is made. Check the appropriate box in the upper right-hand corner of the CAP 86 to indicate the function served by the form. The field representative indicates his assessment of CAA performance in four major areas by checking the line next to each statement under the columns "Satisfactory," "Unsatisfactory" or "Inadequate Basis for Judgment." If either of the last two are checked, the field representative must include a discussion of the problem and explanation of the rating in Section IV of the Highlight Memo. The page of the Highlight Memo on which the discussion is included is shown under "Explanation Highlight Memo Page."

The following instructions relate to the four major sections on the form:

**Section I. Organization and Management:** Review the composition and responsibilities of the CAA's governing board, councils and committees; the administrative structure, its relationship with the governing board and delegate agencies; the

CAA's personnel plan, salary scale and wage comparability; the competence of the staff to operate a CAP program successfully; the CAA's ability to support measures designed to meet the needs of the poor; the extent to which the poor have a voice in policy decisions; the CAA's compliance with the spirit and intent of civil rights legislation and positive steps it has taken in the direction of civil rights.

**Section II. Financial Operations:** Review the CAA's basic financial systems, practices and procedures and its efforts and success in obtaining non-Federal share.

**Section III. Program Planning:** Assess (a) the CAA's program planning capability (e.g., planning staff assignments and activities, understanding of the needs of the poor, involvement of the poor in program planning, efforts to enlist the support of other anti-poverty programs in the community, determination of CAA program priorities); and (b) the size and scope of programs planned (e.g.: whether the programs proposed in the planning stage are of sufficient size and scope to deal effectively and efficiently with the problems and needs to which they are directed).

**Section IV. Program Operations:** Review the CAA's ability to link its own programs into a comprehensive whole. Assess the overall success of CAA leadership in coordination with other anti-poverty programs in the community. Determine the extent to which the program in place coincides with the approved program level. Assess the quality and effectiveness of the CAA's ability to increase the capability of the poor to accept and discharge greater responsibility as employees, participants and representative groups in the CAA and community. Review the CAA's ability to evaluate its own operation.

**Section VI. Verification of Eligibility:** If the field representative recommends the grantee be found eligible, he checks the "Yes" column under "A" and signs and dates this form. If he does not believe the grantee is eligible, he checks the "No" column, signs and dates the form and attaches a brief statement of explanation for review by the District Supervisor. The District Supervisor indicates his own recommendation on a finding of eligibility by checking the appropriate box under B and signs and dates the form. Any question of eligibility will be forwarded to the CAP Administrator for an immediate decision.

## Planning and Prereview

ing activities in the CAA continue out the year and involve the field representative in two ways. First, the field representative in conjunction with the Regional Planning Headquarters officials, and consultants as provides technical assistance to the CAA quest. Second, about 150 days before the year ends, the field representative provides the CAA with program and funding guidance upon the most current information on national action and OEO policy.

The field representative prepares for the prereview the same time the CAA is completing the Community Information and CAA Plans and Priorities forms. The advice and assistance the field representative gives the CAA during the prereview of its coming year's program and funding is largely determined by: (1) the quality and quantity of the information available in the Community Information File; and (2) his evaluation of the CAA's past performance; management and administrative capabilities and potential.

Before the field prereview the field representative reviews and analyzes the Community Information and CAA Plans and Priorities forms, focusing on the process and substance of CAA planning and programming.

The planning process prepared by the CAA in the Community Information File is reviewed for:

all logic and consistency.

ability in terms of the size of the CAA, management and staff capability, and the relations it has established with other local agencies.

the involvement of CAA board and staff, target agencies, advisory groups, neighborhood councils, and target area representatives to ensure their influence on final CAA plans.

the substance or result of the planning is expressed in the CAA's description of its role in the community, its goals, priorities, strategies, programs. This information is considered in the context of CAA past achievements and potential accomplishment.

The field representative discusses with the Disadvantaged representative problems, issues, and questions raised with the CAA during the prereview. They review the general structure of the CAA's programs and determine which program management specialists should assist in the prereview.

The prereview is one of the most crucial points in the grant application process

for both OEO and the CAA. It is at this time that OEO indicates its intention to fund the CAA, and together OEO and the CAA decide upon the CAA's program structure and funding level for the coming program year.

Care must be taken that the field representative does not destroy local initiative in the development and operation of CAA programs. The decisions on programs to be undertaken are for the CAA to make; the field representative should guide and encourage the CAA in this process, and insure that OEO policy and directions are understood and applied by CAA to program development.

During the prereview the CAA and OEO discuss the CAA's progress, its strengths and weaknesses, and in specific terms its coming year's plans. Following the comprehensive prereview discussions OEO makes an initial commitment whether to fund the CAA for the coming year and a basic finding on the effectiveness of the CAA's general program strategy.

The field representative conducts the prereview in connection with appropriate program and management specialists. Prereview begins approximately 120 days prior to the end of the CAA's program year and normally lasts between 4 to 10 working days depending upon the size and complexity of the CAA.

Specific contents of each prereview will vary with the nature and circumstances of the CAA. Generally, however, the following three forms provide a structure that will be substantially the same for all CAA's:

- (1) Verification of Grantee Eligibility, CAP Form 86.
- (2) Community Action Agency Plans and Priorities, CAP Form 81.
- (3) Prereview Checklist.

The CAP 86 is used to discuss required eligibility certifications or documents; inadequate eligibility information; and the areas in which available information indicates a weakness in CAA organization, administration, management, or program operation.

The CAP 81 provides the substantive focus for the prereview. CAA long-term strategies and goals are discussed in detail. Project and program activities and objectives in the context of the strategies and goals are reviewed and analyzed.

The Prereview Checklist is used as a guide by the field representative to assure that prereview discussions are thorough and comprehensive. While the specific questions asked will vary ac-

## Prereview...

According to the circumstances, the ten major areas should be covered in all cases. Adequate information on many checklist items will emerge during discussions of the CAP 86 and 81. The use of each specific question is not likely to be necessary.

The field representative is encouraged, during the discussions, to prepare rough notes on all questions as a guide to the final determination of eligibility and for incorporation in his report of the prereview visit and Letter of Understanding, as appropriate. Copies of these notes should be maintained in the Grantee Information File until the funding request has been approved. The more thorough the answers to the checklist questions, the better OEO is able to provide the CAA with the kind of support it requires. The checklist should be referred to for support information during discussions with technical specialists on potential CAA problems and needs for the coming year.

Chief among the field representative's concerns during consideration of the CAA's coming year's program is whether it is realistic. The requested program level is discussed in terms of (1) the CAA's past and current performance; (2) level of program activity achieved in relation to level approved; (3) present and potential administrative and management capabilities; and (4) the improvements or changes required to achieve either the approved program level or a lower more realistic level.

Overall financial requirements for both the coming program year and for full year operations are tentatively determined on the basis of the anticipated program in place and carry-over balance at the end of the current program year. Probable sources of additional funding such as increased cash and in-kind contributions, financing by State, local or other Federal agencies, and new OEO money are also tentatively identified. Finally, contingency plans for possible reduced spending are developed.

Training and technical assistance requirements of the CAA are assessed in the framework of the CAA's accomplishments, potential, and weaknesses. The assistance required is balanced with what OEO can reasonably be expected to provide. On this basis the level and nature of the training and technical assistance is agreed upon.

At the conclusion of the prereview, the field representative, the CAA staff, governing board members, or governing officials and administering board members in a political jurisdiction CAA, and delegate agency staffs draft and sign a memo-

randum summarizing the agreements reached during prereview, and delineating areas of disagreement, if any. Within one week of the close of the prereview, the field representative prepares for the District Supervisor or Headquarters official a written report of the prereview visit composed of (1) a synopsis of the discussions including all major unresolved issues as well as recommendations for their solution; (2) responses to the nine summary items on the prereview checklist; and (3) a draft copy of the Letter of Understanding to the CAA, with the memorandum summarizing prereview, signed by CAA and field representative, attached. All statements in the draft Letter of Understanding must have been thoroughly covered during prereview or subsequent discussions with the CAA.

The Letter of Understanding specifies and affirms the decisions agreed upon during the prereview on the long and short-term strategy, proposed program structure and objectives, and funding level and probable financial sources for the CAA's ensuing program year. The Letter indicates the level of budget detail the CAA must submit in its funding request. Also included is OEO's commitment to provide or arrange for specific training and technical assistance required by the CAA. The last paragraph of the Letter must state that the final determination of eligibility to receive federal funds will be made at the time of final grant action on the funding request.

The District Supervisor and appropriate program and management specialists review and comment on prereview agreements and issues as outlined by the field representative in the draft Letter of Understanding. Outstanding issues are referred to the CAP Regional Administrator and are resolved as far as possible at this time. The draft Letter is also reviewed by other appropriate offices as cited in OEO Staff Instruction 6710-2. The OEO Regional Director or his designee signs the final Letter of Understanding and sends it to the CAA within 10 days of the completion of the prereview. A copy of the Letter is placed in the Grantee Information File.

It is essential that the Letter of Understanding be comprehensive. As far as possible the decisions and agreements in it should not be subject to change. OEO should immediately communicate any changes to the CAA. Likewise, CAA departures from prereview agreements as detailed in the Letter of Understanding require discussion with the field representative and technical specialists, as required, before submission of the funding request.

## Prereview ...

### Prereview Checklist

#### *Goals, Strategy, and Projects*

(1) Does the CAA see its function as more than operating CAP-funded programs? In what way?

(2) Does the CAA act as a general advocate for the poor in the community and with other agencies (e.g. Model Cities, Welfare Administration, Health and Education Departments)? How?

(3) Does it exercise community leadership to bring about institutional change and coordination with other efforts on behalf of low-income residents? What results?

(4) Has the CAA planned or operated any innovative programs? Describe.

(5) Is it planning comprehensive, inter-agency programs in addition to self-contained programs? What kind?

(6) Has the CAA developed long-term goals? What are they?

(7) Are they appropriate for its size, resources, management skills, and community potential? Specify.

(8) Do its goals focus on individual target groups or on a broad range of needs? Why?

(9) Are its goals consistent with the identified needs of the poor in the community? How were they determined?

(10) Do its goals unnecessarily duplicate other efforts under way in the community? Can duplication be eliminated or reduced?

(11) Does the CAA have a sound and realistic strategy? If not, by what methods can it be proved?

(12) Are both the long and short-term strategies likely to bring about the desired end results? When?

(13) If all plans cannot be implemented, has the CAA set priorities on its programs? What are they? How were the priorities determined?

(14) Is the CAA attempting to mobilize local resources and to create meaningful local involvement in the War on Poverty? What kind of resources? What type of involvement?

(15) What poverty problems does the CAA intend to address in the new program year, and how they tie in with the long term goals?

(16) Will the proposed program in the new program year require a considerable increase in expenditures in the following program year?

**SUMMARY:** Does the CAA have meaningful, long-term goals; a sound strategy to achieve those goals; and sound overall objectives? If not, what specific improvements might be made and what further assistance is needed?

## II. Projects and Program Account Work Programs

(1) Are the project goals and the program account work program objectives clearly identified and do they relate well to the CAA's stated goals and strategy? How?

(2) In light of past experience, are these objectives likely to be achieved? Within the proposed time frame?

(3) What are the expected end results of each program account work program? What is the full duration of each program anticipated to be? How much of each program can reasonably be accomplished in one program year?

(4) To what extent were the poor involved in developing and deciding on the program structure?

(5) Does the CAA know the needs of the beneficiaries of the program account in terms of breaking the poverty cycle? What are these needs?

(6) How were these needs determined, and is this method reasonable?

(7) Was one target group chosen over another? If so, why?

(8) What steps are being taken to meet other identified needs of this target group?

(9) Is the planned participation (in terms of demographic characteristics) consistent with the needs of poor people in the community and with the CAA's overall strategy? If not, is the program necessary?

(10) Is the cooperation of other local agencies being sought and obtained in meeting other needs? In what way?

(11) Are the means of coordination established between the CAA and other groups expected to contribute to this program? What are these means and what will the contributions be?

(12) Are programs similar to the CAA's currently in operation by other agencies in the community?

(13) Does the CAA know about similar programs planned by other community agencies?

(14) Could an agency other than the CAA provide some of the CAP-funded services proposed for this project? If so, which?

(15) Has the CAA tried to obtain those other sources of help? What were the results?

(16) How will specific beneficiaries in the target group be informed of this program?

(17) What must they do to be eligible for CAA programs?

(18) How many delegate agencies will be included in the operation of each program? Which agencies?

(19) Are there different delegate agencies this year? Which ones were deleted and which ones were added? Why?

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(20) Will the third party contracts between the CAA and its delegates assure adequate CAA influence over program operations and administration and sufficient opportunity for the CAA to evaluate delegate agency operations?

(21) Has the CAA identified all the major steps needed to carry out the program objectives?

(22) Are those steps reasonable and can they be expected to be effective?

(23) Will the CAA need special assistance from OEO (such as technical, program, or management assistance, or inter-agency coordination aid) to make the program successful?

(24) How are the individual program accounts within each project tied together?

(25) Are present facilities adequate? Will additional facilities be required next year? What kind?

(26) What criteria are used in selecting facilities for program operations?

**SUMMARY:** Do work program objectives relate well to overall goals and strategies and meet identified target-group needs? Are the work programs well designed and is full use being made of other community agencies? If not, what improvements can be made, and what further assistance is needed?

### III. Budget and Financial Plans

(1) What are the budget estimates for each work program?

(2) How were budget details developed and estimates made? What kinds of unit cost data were available and used?

(3) Did the CAA consider program cost alternatives? If so, what kind?

(4) Has the CAA made provisional plans for a reduced program if it receives less money than expected?

(5) If additional funds become available does the CAA have the capacity to mount an expanded program? What would the expansion consist of?

(6) What role will delegate agencies and the CAA play in budget preparation?

(7) How will the completed budgets as prepared by CAA and delegate agencies be assessed and analyzed within the CAA?

(8) How will the CAA obtain its non-Federal share for each work program?

(9) How much will be cash contributions? How much volunteer time? How much other in-kind contributions?

(10) Have both professional and non-professional volunteers been sought?

(11) What is the minimum cost level by pro-

gram account for a full year of the CAA's current program in place considering mandatory increases (e.g., salaries) and possible decreases (e.g., equipment)?

(12) How does the program in place level compare with the approved program level for the current program year?

(13) What will be the carry-over balance at the end of the current program year if the current program in place level is maintained?

(14) How does this carry-over balance compare with last year's carry-over?

(15) If the current program in place level is lower than the approved program level, is it reasonable to anticipate an increase in the current level sufficient to achieve the approved program level by the end of the current program year?

(16) If the approved level cannot be attained what level can the CAA be reasonably expected to attain by the end of the current program year considering the CAA's past performance and its current administrative and management capabilities?

(17) What will be the carry-over balance at the end of the current program year if this lower anticipated level of program activity is achieved by that time? What are the reasons for the carry-over balance?

(18) What specific steps are necessary to achieve the lower anticipated program in place level by the end of the current program year?

(19) Do the program in place level and the carry-over balance anticipated at the end of the current program year indicate that the CAA's requested program level for the coming year is unrealistic and should be reduced?

(20) If a reduction in the level of approved program is not appropriate or necessary, what changes are required in the CAA administration, management, financial planning, and budgeting to assure the requested level of approved program is achieved?

(21) If a reduction in program level is appropriate, in which program accounts and categories will the cuts be made? Why?

**SUMMARY:** Have budget estimates been made with regard to the level of program activity that can be feasibly achieved in the requested program year? Are budget estimate procedures adequate and budget estimates reasonable and realistic in terms of the current program in place and anticipated carry-over balance? Are proposed methods of financing the program realistic and will they utilize the needed Federal share and other available resources to the best advan-

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tage? If not, what improvements can be made and what further assistance is needed?

### IV. Organization and Administration

(1) Is the CAA organized to achieve maximum program coordination and results?

(2) Does the organization provide for an adequate information flow both upward and downward?

(3) Does the CAA possess the management capability in terms of organization, distribution of authority, internal working relationships, competent personnel at all levels, etc., to carry out its objectives and programs?

(4) Has the CAA assessed its need for programmatic and management training and technical assistance at all levels and in all programs? How was this assessment made? How will identified needs be met?

**SUMMARY:** Is the organization and administration of the CAA adequate to carry out the programs for which it has been funded? What improvements might be made, and what assistance required?

### V. Planning Capability and Process

(1) Does the CAA have a continuous and effective planning process?

(2) Does the CAA have adequate and current information on which to base its planning?

(3) Does the process function to provide the level of detail necessary for effective program planning and operation?

(4) Does the planning ensure adequate financial and technical resources to mount an effective program?

(5) Are the poor involved in program planning in a meaningful way? How?

(6) Does the planning process allow for participation by all legitimate interest groups in the community? How?

**SUMMARY:** Are any improvements in the CAA planning process or its use required, and is there a need for technical assistance in this area?

### VI. CAA Self-Evaluation

(1) What has the CAA found to be particularly successful in its program? Unsuccessful?

(2) How does the CAA evaluate its effectiveness in operating or supervising programs and in implementing its stated objectives?

(3) What is the evaluation process?

(4) What programmatic and management deficiencies have been identified by the CAA? What has been done about them?

(5) How does the CAA evaluate the performance of its delegate agencies?

(6) What recommendations, based upon past experience, does the CAA offer to improve its upcoming programs?

**SUMMARY:** Does the CAA continually evaluate itself and its delegate agencies in order to improve its total program? If not, what changes can be made to build a continuous evaluation process into the agency?

### VII. CAA Boards, Councils, and Committees

(1) Is the CAA governing board, or governing officials and administrative board, sufficiently involved in program operations to establish sound program policy?

(2) Are the poor or their representatives contributing members of the principal representative board, and do their ideas influence board decisions?

(3) Is training on CAP mission, policy, and procedure made available to members of all boards, councils, and advisory groups?

(4) Do members of all CAA boards, councils, groups, and committees make on-site visits to CAA projects?

(5) Do board members participate in the evaluation of CAA operated and delegated programs? How?

(6) Are there workable channels of communication between the principal representative board and all subsidiary boards, councils, and groups?

(7) Has the board delegated program administration responsibility and commensurate authority to the Executive Director?

**SUMMARY:** Is the CAA board performing its functions satisfactorily? What improvements might be made, and what assistance is required to increase board effectiveness?

### VIII. External Relationships

(1) Does the CAA have a public information program, and is it suitable to the particular community?

(2) How are CAA programs publicized in the community?

(3) Are the press, radio, and television kept informed of CAA activities? How?

(4) Is information of CAA programs made available to interested parties and organizations?

(5) Does the CAA have an identity of its own, and has it achieved visibility in the community?

(6) Has the CAA developed an effective working relationship with other agencies operating anti-poverty programs in the community?

(7) Does the CAA work with city, county and

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state agencies such as the Department of Health, Education, and Welfare? How?

(8) Does the CAA have a continuing, useful relationship with the State Economic Opportunity Office?

**SUMMARY:** Are the external relationships of the CAA generally satisfactory? What improvements might be made? Is technical assistance required in this area?

### IX. Civil Rights

(1) Are the physical facilities located with maximum potential for participation by all eligible persons regardless of race?

(2) Is the ethnic and racial composition of staff and trainees equitable in terms of the total target group and community population?

(3) Have jobs been opened for the minority poor from which they have been traditionally excluded?

(4) What efforts have been made to recruit qualified professional and non-professional staff from all ethnic groups.

(5) What needs are there for civil rights training, and what provisions have been made for technical assistance in this area?

(6) Is the program staff adequately oriented in terms of community relations and "civil rights sensitivity?"

(7) Is the representation of minority groups on program and policy-making boards realistic and proportional?

(8) Does the work program plan provide for effective self-evaluations to identify civil rights areas requiring further attention?

(9) Does the personnel policy plan adequately provide for handling complaints of alleged discrimination because of race, sex, religion, age, and other prohibitive practices covered by Federal and/or State legislation?

(10) Has the CAA assessed the minority problem carefully and produced specific plans and policies to assure maximum participation by all

eligible persons regardless of race in all its activities?

(11) To what extent has the CAA achieved integration of staff and participants in its programs, in other agency operations and in the community in general?

**SUMMARY:** Are the civil rights of CAA and delegate agency employees and program participants fully protected? What improvements and assistance might be needed?

### X. Resident Participation

(1) Has the CAA established mechanisms for involving the poor in program:

- a) Planning?
- b) Development?
- c) Operation?
- d) Evaluation?

(2) What are these mechanisms and are they adequate?

(3) Is resident participation genuine or is it paper participation only?

(4) What is the CAA doing to increase the effectiveness of resident participation?

(5) Who on the CAA staff is responsible for assuring that needed training and technical assistance is provided to low income residents to increase effective participation?

(6) Is technical assistance provided to the poor in problem identification and resolution?

(7) Are the poor provided training and technical assistance in techniques of articulating their needs to public officials?

(8) Are the poor being encouraged to initiate and operate their own programs?

(9) What is the CAA doing to strengthen neighborhood organizations?

(10) How is this reflected in the CAA's preparation of the neighborhood organization to become delegate agencies?

**SUMMARY:** Does the CAA actively involve the poor in all phases of program planning, development, operation, and evaluation? Are the poor provided technical assistance to increase the effectiveness of their participation? Are improvements and assistance needed?

## Funding Request

The field representative receives the funding request approximately 60 days prior to the end of the program year. Before beginning an analysis of its contents, the field representative screens the request for general adequacy and completeness.

The Checkpoint Procedure for Coordination between CAP and Other Anti-Poverty Activities, CAP Form 46, is checked for comments from other agencies regarding the CAA's programs and efforts toward achieving a coordinated attack on poverty in the community. When a funding request is received with negative comments regarding a proposed CAA program or an inadequate explanation for the failure to include a CAP 46 from all relevant agencies, the field representative contacts the agency or agencies concerned. In the event further consultation is found to be necessary at the local level the funding request may be returned to the CAA. Approval of the CAA's programs is not required; however, the opportunity for comment by all potentially concerned agencies is essential prior to OEO approval of the request.

Second, the field representative checks the request for general conformity with prereview agreements contained in the Letter of Understanding, including modifications requested by the CAA or required by OEO. The formal funding request should contain no major new substantive information. Should the request contain significant departures from the prereview agreements as modified, the field representative instructs the Processing Unit to return all copies to the CAA indicating that until the request conforms with the agreed upon program level and content it cannot be reviewed. Significant changes in requests from the agreements in the Letter of Understanding should be minimal and occur only in circumstances such as a lower Congressional appropriation than anticipated or a major change in OEO policies.

Once the field representative has accepted the funding request, he may send copies of program account work programs and supporting data to appropriate technical and program specialists for their review and comment.

The primary focus of the funding request review is on the individual work programs, their objectives and expected results, and on the related program account budgets. The work program descriptions are among the most important items in the funding request. They define both the CAA program objectives and the means by which these objectives are to be achieved. These descriptions

provide the framework within which the analysis of the CAA's proposed funding request takes place. Participants/Expenditures Plan, CAP Form 83; Participant Characteristics Plan, CAP Form 84; and Administering Agency Funding Estimate, CAP Form 85, are reviewed for consistency with work program descriptions. In addition, the CAP 83 is analyzed to determine that the number of planned participants is realistic in terms of current and anticipated level of program activity as reflected in the related Program Account Work Program, CAP Form 7, and Program Account Budget, CAP Form 25. The CAP 84 is reviewed for consistency with the Community Information, CAP Form 5; CAA Plans and Priorities, CAP Form 81; and CAP 7. The CAP 85 is analyzed to determine whether the mix of program accounts operated by each delegate agency is likely to enhance program coordination and linkage.

After finding the program structure as received or modified to be a reasonable one-year segment of activities leading to CAA goals, and determining the soundness of each individual work program, the field representative begins his evaluation of the requested budget.

The budget is the program plan expressed in monetary units. It cannot be analyzed except in relation to the work program it supports. The budget can be sound only to the degree the work program it finances is sound. The proposed level of program activity as agreed upon during the prereview was based upon consideration of the availability of funds; the CAA's performance, capabilities, and potential; and the program results achieved compared to those approved for its current program year. These factors are equally important to the analysis of the formal funding request. In addition the most recent Grantee Monthly Financial Reports, CAP Forms 15 and 15a, and quarterly program progress reports are studied in conjunction with the Unexpended Federal Funds Report, CAP Form 28, to determine the carry-over balance and program in place at the time the request is submitted. This information provides the basis for establishing both the reasonable program level and the budget requirements.

The field representative's concerns as he assesses the CAA's financial plan are:

1. On what basis did the CAA determine its overall budget considering the in-depth prereview discussions on salaries, wages, and fringe benefits for personnel; consultants costs; travel; space and rental costs; consum-



## Fund Request . . .

able supplies; rental, lease, or purchase of equipment; and other costs? The field representative's attention at this time should not focus on detailed unit costs but on the technique used by the CAA to build its budget.

2. Are the estimates reasonable, realistic, and justified as the best use of the limited resources available?

Finally, the field representative approves each program account budget for personnel and non-personnel cost categories. These two categories provide the control figures for the CAA's accounting records, expenditure reports (CAP 15), and program progress reports, and are a base for audits.

Owing to cost variations, rigid cost standards or guidelines cannot be provided. In those cases where OEO has established and issued cost standards to the CAA, they must be adhered to. When cost guidelines are available only to the OEO staff, they should be applied by the field representative, as appropriate.

If during the funding request review the field representative makes changes in any of the program account work programs or their budgets, he prepares an Explanation of Budget and Work

Program Changes, CAP Form 25c. (See Grant Package Section of Manual).

The field representative determines whether such changes warrant the submission of revised Participants/Expenditures and Administering Agency Funding Estimate forms.

Changes and the need for revised forms are discussed with the CAA before OEO approves the funding request. Special conditions to be attached to the grant are also explained to the CAA in advance. The field representative is encouraged to maintain contact with the CAA throughout the funding request review period. The CAA is not advised of final grant approval, however, until Congressional Affairs has informed the Region the grant action has been released.

The field representative prepares a draft copy of the Highlight Memorandum in which he identifies remaining unresolved issues, delineates alternative courses of action, and recommends the most suitable courses under the existing circumstances.

The field representative reviews the request with the District Supervisor or appropriate Headquarters officials using the draft Highlight as a discussion document. The joint review is concluded with the District Supervisor's approval of the CAA's work programs and budgets and of the draft Highlight.

# The Grant Package

The grant application process is completed by the preparation and issuance of the grant package. This package contains the formal legal documents by which OEO approves a community action program and awards a specific amount of Federal money to a CAA for its operation.

- 1) Statement of CAP Grant, CAP Form 14.
- 2) Explanation of Budget and Work Program Changes, CAP Form 25c, if any.
- 3) General Conditions for all grant actions. One set of these conditions applies to Community Action and Migrant Program grants, and another set applies to Comprehensive Health Services grants.
- 4) Special Conditions, CAP Form 29, if required.
- 5) Unexpended Federal Funds Report, CAP Form 28, if required.
- 6) Approved Program for Amended Program Accounts, CAP Form 14a, if required.

The field representative prepares a number of these forms along with a draft copy of the Highlight Memorandum during his review and analysis of the funding request.

The Highlight Memorandum is a self-contained decision instrument composed of information and assessments vital to the program and funding decisions of Regional Directors and Headquarters officials. It focuses on issues and problems and includes an assessment of the CAA's program, performance, and potential. Specifically it consists of basic CAA information; a finding of the CAA's eligibility to receive OEO funds; summaries of the CAA's projects and program accounts including a Summary of Application, CAP Form 1; a review of outstanding issues and problems; comments from appropriate technical specialists and the District Supervisors; and recommendations

for grant approval from the field representative and the District Supervisor.

The Highlight Memorandum, which accompanies the grant package in OEO, is put into final form by the field representative following the District Supervisor's approval of the request and receipt of comments from technical and program specialists. The District Supervisor comments in the Highlight on the CAA's performance and requested program and budget and recommends whether to find the CAA qualified to receive funds. He signs the Highlight Memorandum Clearances and Concurrences to signify concurrence with the field representative's recommendation for grant approval.

The grant package is then forwarded to the person, in the Regional or Headquarters office with CAP fiscal responsibility, who verifies the availability of funds, reserves the stipulated amount, and forwards the package to the CAP Administrator.

The CAP Administrator reviews the grant package and signs to indicate his recommendation that the funding request be approved. The package is next sent to the Regional Accountant or Budget Officer, who confirms the availability of funds, and forwards it to the Regional Director, who indicates approval of the grant action by signing the CAP 14. The approved grant package is sent to the CAA by the Processing Unit.

The CAA signifies grant acceptance by signing and returning to the Regional Office a copy of the signed CAP 14 and any attachments and the required evidence of compliance with attached special conditions, if any. The field representative reviews and approves the compliance documents and informs the Processing Unit of his action. With the receipt of the Governor's approval of the grant action, the release of funds process begins.

## Instructions for Statement of CAP Grant, CAP Form 14

The following instructions refer to specific items on the CAP 14. If no instruction is provided the item is considered self-explanatory:

**Item 1.** Enter the four-digit grant number and the program year letter. This should be the program year *for* which the grant action is made, not necessarily the program year *in* which the CAP 14 is prepared and signed. Enter the sequential action number in pencil. Since the action number is determined by the order in which the CAP 14 is signed, not necessarily the order in which it is prepared, the action number should not be typed until after the CAP 14 is signed.

**Item 4.** The field representative must determine whether the grant action is subject to the Governor's consideration, which is required for grant actions which first approve program accounts for the program year, or which amend program accounts so as to increase the amount of federal funds. Refer to Staff Instructions 6710-2 for further details on effective date.

**Item 5.** Complete this item for grant actions to CAAs under Sections 221, 222, and 312 of the EOA unless the CAA is being terminated.

Each grant action for the program year should have the same "end of program year" date, even if some program accounts in the grant action have shorter operating periods. In this case, an Explanation of Budget and Work Program Changes, CAP Form 25c, should be attached indicating that costs cannot be incurred after the operating period ends.

**Item 6.** Complete this item for grant actions to CAAs under Sections 221, 222, and 312 of the EOA only if the grant action terminates the grant. If a CAA is to be terminated enter the termination date in Item 6 and leave Item 5 blank.

**Item 7.** Enter one of the following: 221; 222; 221, 222; or 312; depending upon the Section(s) of the Act under which the grant action is made.

**Item 8.** Enter the percentage of Federal share to be provided to the CAA. Usually this will be 80% unless the grantee either agrees to provide more than 20% non-Federal share, or qualifies for Federal financing in excess of 80%. In this case the actual maximum percentage of Federal share comparable to non-Federal share which the grantee agrees to provide or qualifies for should be entered, e.g., "90%", "100%", etc.

The *Federal share* approved to date for the pro-

gram year [Line D, Column (3)] may never exceed the percentage in Item 8 of the *total costs* approved to date for the program year [Line D, Column (7)]. However, the percentage in Item 8 is the maximum percentage of Federal share for the grant for the *entire program year*, not necessarily the maximum Federal share for the grant *action*.

For example, a grantee whose cumulative Federal share for the program year to date is less than 80% may receive a subsequent grant action for which the Federal share exceeds 80% or even equals 100% as long as the new cumulative Federal share for the program year to date does not exceed 80%.

### **Columns (1)-(10) for Program Accounts to be Funded**

**Columns (1), (2).** List in numerical order the numbers and names of the program accounts to be funded.

**Columns (3), (6), and (7).** Enter for each program account the Total Federal Share, NON-FEDERAL SHARE, and Total Costs, respectively, approved by the grant action.

If in approving the program account no change is being made in the Federal share, non-Federal share, or total costs of the program account as requested by the grantee, the figures to be entered in Columns (3), (6), and (7) may be taken directly from the TOTAL COSTS line of Columns (6), (7), and (5), respectively, on Page 1 of the corresponding Program Account Budget, CAP Form 25, in the funding request. If changes are made in the amounts as requested, the figures to be entered in Columns (3), (6), and (7) are computed by adding or subtracting from the figures on the CAP 25 the budget increases or decreases indicated on the Explanation of Budget and Work Program Changes, CAP Form 25c, which the field representative has prepared.

**Column (4).** If an entry is made in Column (4) for one or more program accounts, the initial or final Unexpended Federal Funds Report, CAP Form 28, must be attached to the CAP 14 even if the total of all entries in Column (4) is zero.

An entry should be made in Column (4) *only* if unexpended funds are reprogrammed and applied to the program account. See Instructions

## CAP 14...

for Unexpended Federal Funds Report, CAP Form 28.

If carryover funds are applied to the total Federal share of a program account, enter in Column (4) the balances shown in Column (7) of the initial CAP Form 28 or Column (10) of the final CAP 28. Columns (8) or (11) of the CAP 28 show to which program account the balances are applied. The program account number may be shown more than once in Column (8) or Column (11) of the CAP 28. In such a case, enter in Column (4) the *total* of the corresponding figures in Column (7) or Column (10) of the CAP 28.

Figures entered in Column (4) from Column (7) of the CAP 28 are always positive. Figures entered in Column (4) from Column (10) of the CAP 28 may be either positive or negative, depending upon whether the adjustments called for in Column (10) of the CAP 28 are increases or decreases.

**Column (5).** Enter in Column (5) the difference between the figures in Column (4) and Column (3). If the program account to be funded consists entirely of non-Federal share, Columns (3) and (4) will be blank. Column (5) should then also be left blank. If Column (4) is blank, the figure in Column (5) should be the same as the figure in Column (3).

**Columns (8), (9).** Enter in Columns (8) and (9) for each program account the Personnel Costs and Nonpersonnel Costs, respectively, approved by the grant action. The total of Columns (8) and (9) must always equal Column (7).

If in approving the grant action no change is being made in the personnel or nonpersonnel costs of the program account from that requested by the grantee, the figures to be entered in Columns (8) and (9) may be taken directly from the Personnel Costs and Nonpersonnel Costs lines of Column (5) on Page 1 of the corresponding CAP 25 in the funding request. If changes are being made in the amounts requested, an explanation is shown on the CAP 25c.

**Column (10).** Enter for each program account the total number of months approved for the program account to operate during the program year.

### **Columns (1)-(10) for Program Accounts to be Amended**

**Columns (1), (2).** List in numerical order the numbers and names of the program accounts to be amended. If the same CAP 14 is used both to fund certain program accounts and amend others, all program accounts should be listed in numerical

order whether they are to be funded or amended.

Each program account should be listed only once on any CAP 14, even if two separate and unrelated amendments of the program accounts are being approved. For example, if a *final* CAP 28 indicates that carry-over funds were overestimated OEO may wish to increase the new obligational authority in order to maintain the level of approved program. If OEO wishes simultaneously to switch funds from personnel costs to non-personnel costs the two actions should be combined and shown on one line of the CAP 14.

Following receipt of a *final* CAP 28, the same CAP 14 cannot be used both to decrease the funds in a program account which will not be refunded *and* to amend other program accounts, since two different program years are involved. The deduction should be effected by preparing a CAP 14 for the preceding program year, i.e., the program year for which the CAP 28 was submitted. That CAP Form 14 will then normally be the final grant action for the preceding program year even though it is signed after that program year has ended. The other program accounts to be amended as a result of the final CAP 28 should be listed on a CAP 14 for the current program year.

**Columns (3), (6), and (7).** Enter for each program account the recommended *increase* or *decrease* in the approved Total Federal Share, NON-FEDERAL SHARE, and Total Costs for the program account. Decreases should be indicated by a minus (-) sign.

If an amendment does not change any one of the three amounts then the column(s) for the unchanged item(s) should be left blank. For example, funds may be switched from personnel to non-personnel costs without affecting total costs, Federal share may change without affecting the non-Federal share, or carryover funds assigned and NOA may change without affecting any of the other totals.

If as a result of a final CAP 28 funds are deobligated from the previous program year's funding, only Column (5) of the CAP 14 will be completed. In such a case leave Columns (3), (6), and (7) blank, even though the deobligation actually causes a reduction in the Federal share and total costs, and may involve a proportionate reduction in the non-Federal share as well.

If the program account amendment is recommended for approval as requested the figures entered in Columns (3), (6), and (7) are taken directly from the TOTAL COSTS line of Columns (6), (7) and (5) on Page 1 of the CAP 25 in the amendment request. If changes are made in the

## CAP 14...

amendment as requested the difference between the requested amount and the figures entered in Columns (3), (6) and (7) are indicated on the CAP 25c.

**Column (4).** This column should be completed for program accounts to be amended in the same manner as for program accounts to be funded. See instructions above.

**Column (5).** The figure to be entered in Column (5) is generally the difference resulting from subtracting the figure in Column (4) from the figure in Column (3). However, if as a result of a final CAP 28 funds are to be deobligated from the previous program year's grant, neither Column (3) nor Column (4) should be completed. Consequently, the negative figure to be entered in Column (5) will not equal the difference between Columns (3) and (4).

In all other cases when both Columns (3) and (4) are blank, as when only non-Federal share is being amended or when funds are switched between personnel and nonpersonnel costs without changing the Federal share, also leave Column (5) blank. If Column (3) is completed but Column (4) is blank, as when Federal share is amended without amending the carry-over funds assigned, the figure in Column (5) will be the same as the figure in Column (3). If Column (3) is blank but Column (4) is completed, as when there is no change in the Federal share but the carry-over is adjusted, Column (5) will be completed as an offset entry to Column (4), i.e., the figure in one column will be positive and the figure in the other column will be negative in the same amount.

**Columns (8)-(9).** Enter in Columns (8) and (9) the recommended changes in the approved Personnel and/or Nonpersonnel Costs for the program account. If an amendment does not change one or either of the two cost categories, leave the appropriate column(s) blank.

The total of Columns (8) and (9) must always equal Column (7). If both Columns (8) and (9) are blank, as when neither personnel nor nonpersonnel costs are changed, Column (7) will also be blank. If both Columns (8) and (9) are completed but Column (7) is blank, as when there is a switch of funds between personnel and nonpersonnel costs without changing the total costs, Columns (8) and (9) will offset each other, i.e., the figure in one column will be positive and the figure in the other will be negative in the same amount.

If the amendment is recommended for approval

as requested, the figures to be entered in Columns (8) and (9) are taken directly from the Personnel Costs and Nonpersonnel Costs lines of Column (5) on Page 1 of the corresponding CAP 25 in the amendment request. If changes are made in the request, the figures entered in Columns (8) and (9) reflect the changes described on the CAP 25c.

**Column (10).** Enter for each program account the total number of months, *as amended*, for which the amended program account is authorized to operate during the program year. For example, if a program account was previously authorized to operate for six months and is now being amended to extend the operating period for three additional months, enter "9" in Column (10), *not* "3". If the amendment does not affect the operating period of the program account enter the same number of months as was indicated on the CAP 14 by which the program account was funded or, if the program account was previously amended, on the last CAP 14 by which the program account was amended.

### Lines A-D and Item 9, All Program Accounts

**Line A.** If all program accounts to be funded or amended cannot be listed on one sheet of the CAP 14, use as many additional sheets of the form as necessary. Leave this line blank on each continuation page and enter on this line on the initial page the combined totals from the continuation pages.

**Line B.** Use this line as a page total on any continuation page and as a grand total (page total plus Line A) on the first page of the CAP 14. Total every column, except Column (10), in which figures have been entered for any program account. In totaling any column negative figures should be subtracted from the total of the positive figures in the column. Negative totals should be indicated by a minus (-) sign.

**Line C.** Leave this line blank on any continuation pages for all grant actions and on the first page of *initial* program year grant actions, i.e., grant actions carrying a "/0" sequential number. On the first page of any *subsequent* program year grant action enter on this line the figures from Line D of the previous CAP 14 grant action for the program year. Enter the figures on this line in pencil until the CAP 14 is signed.

**Line D.** Leave this line blank on any continuation pages. On the first page enter the total of Lines B and C. On an initial program year grant action Line D will be the same as Line B. The figures on this line should also be entered in pencil until the CAP 14 is signed.

**Item 9.** This statement of OEO approval will be signed by the OEO Regional Director or, in the

## CAP 14...

case of Headquarters grants, by the CAP Director, or by their authorized designees.

**Item 10.** Enter in the space provided the number of pages attached to the CAP Form 14.

Following are a CAP 14 with the program ac-

count lines filled out and an accompanying explanation to show examples of the various uses of the form. All of the examples shown could not actually be included on the same CAP 14 since the circumstances indicated would occur at various times of the program year. Accordingly Items 1-9 and Lines A-D have not been completed.

## Examples of the Various Entries on Sample CAP Form 14

### *P.A. No.            Type of Entry*

01. Funding approving both Federal and non-Federal share, the Federal share being provided from both carry-over funds and new obligational authority.
07. Funding approving only Federal share which is provided from both carry-over and NOA.
11. Funding approving only non-Federal share.
21. Funding approving both Federal and non-Federal share, the Federal share being provided from carry-over only.
23. Funding approving both Federal and non-Federal share, the Federal share being provided from NOA only.
24. Amendment approving only a switch from nonpersonnel costs to personnel costs.
28. Amendment reducing total costs by reducing personnel costs and Federal share (from NOA) and by increasing non-Federal share.
29. Amendment increasing total cost by both increasing personnel costs and reducing non-personnel costs, and by increasing both Federal share (NOA only) and non-Federal share.

### *P.A. No.            Type of Entry*

36. Amendment approving substitution of non-Federal share for Federal share, with reduction in Federal share coming from NOA only. (NOA is always reduced in preference to carry-over funds if program account was funded from both.)
42. Amendment reducing the total costs (from both personnel and nonpersonnel costs) of a program following submission of a final CAP 28 indicating less carry-over than estimated which OEO is not going to make up by providing more NOA.
47. Amendment following submission of a final CAP 28 indicating more carry-over than estimated and deobligation is not necessary NOA is reduced but none of the totals are affected.
57. Amendment following submission of a final CAP 28 indicating less carry-over than estimated. Additional NOA is provided which does not affect the total Federal share or total program costs.

OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM											
STATEMENT OF CAP GRANT											
2. NAME AND ADDRESS OF GRANTEE											
3. NAME AND TITLE OF EXECUTIVE DIRECTOR											
4. EFFECTIVE DATE OF GRANT ACTION											
5. END OF PROGRAM YEAR											
6. TERMINATION DATE											
7. SECTION(S) OF EOA											
8. FEDERAL SHARE OF PROGRAM COST FOR THIS PROGRAM YEAR MAY NOT EXCEED											
9. STATEMENT OF OEO APPROVAL											
10. GRANTEE ACCEPTANCE OF GRANT											
Federal funds as shown in Column (5), Line B, are hereby obligated for the program proposed by the grantee as noted above and in the attachments to this statement. Program account budgets may be modified by the grantee only under General flexibility sublimits or in accordance with written OEO approval.											
APPROVED BY: (Signature and title) DATE											
ACCEPTED BY: (Signature and title of authorized official) DATE											
On behalf of the grantee, I accept the grant and all modifications, general and special conditions, and requirements contained in the attached pages.											

P.A. NO. (1)	PROGRAM ACCOUNT NAME (2)	FEDERAL SHARE			NON-FEDERAL SHARE (10)	TOTAL PROGRAM			NO. OF MOS. (11)
		TOTAL FEDERAL SHARE (704) (3)	CARRY-OVER FUNDS ASSIGNED * (4)	ADDITIONAL FUNDS (N/A) (5)		TOTAL COSTS (7) (8)	PERSONNEL COSTS (9)	NON-PERSONNEL COSTS (10)	
01	CAA Administration	40,000	10,000	30,000	8,000	48,000	30,000	18,000	12
07	Neighborhood Service Systems	60,000	30,000	30,000	-	60,000	40,000	20,000	12
11	Job Dev., Placement & Follow-up	-	-	-	50,000	50,000	35,000	15,000	12
21	Head Start Research & Evaluation	30,000	30,000	-	6,000	36,000	28,000	8,000	4
23	Full Year Head Start -	20,000	-	20,000	4,000	24,000	4,000	20,000	12
24	Summer Head Start	-	-	-	-	-	20,000	-20,000	12
28	Upward Bound Training, Research, TA & Eval.	-13,000	-	-13,000	1,000	-12,000	-12,000	-	12
29	Adult Education	11,000	-	11,000	3,000	15,000	17,000	-2,000	10
36	Housing Services	- 3,000	-	-3,000	3,000	-	-	-	12
A. TOTALS CARRIED FORWARD FROM ATTACHED PAGES (if any)									
B. TOTAL APPROVED THIS GRANT ACTION FOR THIS PROGRAM YEAR			*			(CONTINUED ON NEXT PAGE)			
C. TOTAL PREVIOUSLY APPROVED FOR THIS PROGRAM YEAR									
D. TOTAL APPROVED TO DATE FOR THIS PROGRAM YEAR									

## OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM

## STATEMENT OF CAP GRANT

1 GRANT NO. \_\_\_\_\_

PROG. YR. \_\_\_\_\_

ACT. NO. \_\_\_\_\_

## 2. NAME AND ADDRESS OF GRANTEE

## 4. EFFECTIVE DATE OF GRANT ACTION

## 5. END OF PROGRAM YEAR

## 6. TERMINATION DATE

## 3. NAME AND TITLE OF EXECUTIVE DIRECTOR

## 7. SECTION(S) OF EOA

## 8. FEDERAL SHARE OF PROGRAM COST FOR THIS PROGRAM YEAR MAY NOT EXCEED \$ \_\_\_\_\_

PROGRAM ACCOUNTS APPROVED  
THIS GRANT ACTION YEARP.A.  
NO. (1)

## PROGRAM ACCOUNT NAME

(2)

TOTAL  
FEDERAL  
SHARE (TDA)

(3)

## FEDERAL SHARE

CARRY-OVER  
FUNDS  
ASSIGNED \*

(4)

ADDITIONAL  
FEDERAL  
FUNDS (NOA)

(5)

## TOTAL PROGRAM

TOTAL  
COSTS

(7)

PERSONNEL  
COSTS

(8)

NON-  
PERSONNEL  
COSTS

(9)

NO.  
OF  
MOS.

(10)

42 Medical Care

-3,800

-3,800

-

-

-3,800

-3,000

-800

12

47 Family Planning

-

4,000

-4,000

-

-

-

-

12

57 Legal Services

-

-3,500

3,500

-

-

-

-

12

A. TOTALS CARRIED FORWARD FROM  
ATTACHED PAGES (if any)B. TOTAL APPROVED THIS GRANT  
ACTION FOR THIS PROGRAM YEARC. TOTAL PREVIOUSLY APPROVED  
FOR THIS PROGRAM YEARD. TOTAL APPROVED TO DATE FOR  
THIS PROGRAM YEAR

## 9. STATEMENT OF OEO APPROVAL

Federal funds as shown in Column (5), Line B, are hereby obligated for the program proposed by the grantee as noted above and in the attachments to this statement. Program account budgets may be modified by the grantee only under general flexibility guidelines or in accordance with written OEO approval.

APPROVED BY: (Signature and title)

DATE

## 10. GRANTEE ACCEPTANCE OF GRANT

On behalf of the grantee, I accept the grant and all modifications, general and special conditions, and requirements contained in the attached \_\_\_\_\_ pages.

ACCEPTED BY: (Signature and title of authorized official)

DATE



## Instructions for Approved Program for Amended Program Accounts, CAP Form 14a

The field representative should prepare a CAP 14a as an attachment to the CAP 14 only if the CAP 14 *amends* one or more program accounts. Do *not* prepare a CAP 14a if all program accounts on the CAP 14 are funded for the first time for the program year, as in an initial program year grant action.

A CAP 14a is required when the grant action :

1. Increases or decreases the Federal or non-Federal share or the personnel or non-personnel costs of a program account previously funded for the program year; or
2. Adjusts the carry-over funds previously assigned or the new Federal funds (NOA) previously provided. However, if as a result of a final CAP 28 funds are to be deobligated from the prior program year's grant, do not prepare and attach a CAP 14a even though the grant action adjusts the NOA.

The following instructions refer to specific items on the CAP 14a :

**Item 1.** The grantee name should be the same as in Item 2 on the CAP 14. Do not include the address.

**Item 2.** This is identical to Item 5 on the CAP 14.

**Item 3.** This is identical to Item 1 on the CAP 14.

**Columns (1) and (2).** List in numerical order the numbers and names of only those programs accounts on the CAP 14 which are *amended* by the grant action. Do not include those program accounts on the CAP 14 which are *funded* for the first time for the program year. Do not include any program accounts funded or amended by previous grant actions for the program year unless they are also amended by the current grant action. The number of program accounts listed on the CAP 14a should, therefore, never exceed the number of program accounts listed on the CAP 14. The CAP 14a will show fewer program accounts than the number listed on the CAP 14, unless every pro-

gram account on the CAP 14 is amended by the grant action.

If the number of program accounts amended by the grant action exceeds the lines provided use additional sheets of the CAP 14a as necessary.

**Columns (3)-(9).** These columns correspond exactly to the same-numbered columns on the CAP 14. The figures to be entered in these columns for each program account are computed as follows :

1. If the program account has *not* been previously amended for the program year enter in each column the sum of the figures in the corresponding columns of the CAP 14 to which the CAP 14a is attached and of the *CAP 14* on which that program account was originally *funded* for the program year.

2. If the program account *has* been previously amended for the program year, enter in each column the sum of the figures in the corresponding columns of the CAP 14 to which the CAP 14a is attached and of the *last CAP 14a* on which that program account was previously listed.

Each program account to be listed on the CAP 14a may have been originally funded, or last previously amended, on a different CAP 14. The field representative may therefore have to use several previous CAP 14's and CAP 14a's in computing the figures to be entered on the CAP 14a.

For example, three program accounts are amended by grant action "/3". All were funded for the program year by grant action "/0". Program Account 01 was never previously amended for the program year. Program Accounts 02 and 03 were previously amended by grant action "/1", but Program Account 03 was further amended by grant action "/2". In computing the figures for the CAP 14a to be attached to the "/3" CAP 14, the figures on the CAP 14 must be added to the figures on the "/0" CAP 14 for Program Account 01, on the "/1" CAP 14a for Program Account 02, and on the "/2" CAP 14a for Program Account 03.

**Column (10).** This is identical to Column (10) on the CAP 14. Simply enter for each program account on the CAP 14a the same figure that has been entered for that program account in Column (10) of the CAP 14.

# Instructions for Unexpended Federal Funds Report, CAP Form 28

## **I. Initial CAP Form 28, Estimating Anticipated Unexpended Federal Funds**

1. The field representative should verify that (a) all program accounts\* funded by the date the grantee signed the CAP 28 (of which grantee was advised) are listed, and (b) the amount shown for the approved Federal share in Column (3) for each program account is in agreement with the last CAP 14 or old CAP 25 (dated February 1966), or, if the program account had been amended, with the last CAP 14a or old CAP 43 issued for the program account. The field representative should also verify that the total of all program accounts listed equals the total Federal share awarded.

2. The field representative should then determine which fiscal year funds were used for each program account and should enter the year in Column (4). This will require a review of the grant actions for the program year covered by the CAP 28 to determine the *last* time during that program year each specified program account received NOA funds.

The date the last grant action for each specific program account was signed determines the fiscal year to be indicated. Carry-over funds and transfers of funds from other program accounts will be disregarded unless the program account received all its funds in that manner. In such a case the fiscal year of the carry-over funds or transferred funds will have to be determined.

3. The analyst must verify that the actual expenditures listed in Column (5) are in agreement with the CAP Form 15a received for the month shown in the column heading. The estimated expenditures on Column (6) must also be reviewed to see if the estimated expenditures for the remaining months of the program year (Column (6) minus column (5)) appear to be reasonable estimates when compared with the number of months covered by the actual expenditures in Column (5).

Any figure in either Column (5) or (6) that does not appear to be correct must be discussed with the grantee. Enter corrections as necessary, correcting the totals and Column (7) accordingly.

4. The field representative should then complete Column (8) to indicate where the carry-over funds for each program account listed on the CAP 28 are to be assigned. This is done after listing on the

CAP 14 for the pending new grant action all program accounts to be funded or amended.

If a program account on the CAP 28 is listed on the CAP 14, the same program account number should be entered in Column (8). If a program account on the CAP 28 is not on the CAP 14, the field representative must determine if the funds *when awarded* were earmarked. If so, the funds will have to be deobligated when the final CAP Form 28 is received. This is indicated by entering "NA" (for "Not Assigned") in Column (8). If the funds were not earmarked and the program account is not being refunded, the amount of the carry-over funds may be assigned to any other program account being funded or amended.

5. The amounts shown for each program account in Column (7) should then be indicated on the appropriate line of the new CAP 14. The total of Column (4) of the CAP 14 should equal the total of Column (7) of the CAP 28 less any items marked "NA" in Column (8).

A photo copy of the CAP 28 with the assignments indicated will become the first attachment to the CAP 14 in the grant package. The original signed copy should remain in the funding request.

## **II. Final CAP Form 28, Reporting Actual Unexpended Federal Funds**

1. The field representative should verify that (a) all program accounts funded for the program year are listed, (b) the Federal share indicated in Column (3) for each program account is in agreement with the last CAP 14, old CAP 25 (dated February 1966), CAP 14a, or old CAP 43 for that program account; and (c) the total Federal share of all program accounts is equal to the total Federal share awarded for the grant for the program year covered by the CAP 28.

2. The field representative must verify that actual unexpended Federal funds in Column (9) equal the difference between the approved Federal share in Column (3) and the cumulative Federal expenditures, Column (I), on the final CAP Form 15a submitted together with the final CAP 28. In addition, when the figures in Column (9) represent a substantial variance from the figures estimated in Column (7) on the initial CAP 28 at the time of refunding, the field representative should investigate to determine whether there is a legitimate reason for the difference, or whether poor accounting practices or subterfuge was responsible.

3. Column (4) is then completed for any pro-

\*Or "components", if the grantee had not yet converted to program accounts by the time the CAP 28 was prepared.

## CAP 28 . . .

gram account listed in Columns (1)–(3) which was not listed on the *initial* CAP 28, in accordance with the instructions for Column (4) in Part I. 2 above.

4. For any program account originally listed on the initial CAP 28 for which “NA” is indicated in Column (8) enter a dash (—) in Column (10) and “NA” in Column (11).

For any program account originally listed on the initial CAP 28 for which a program account number is indicated in Column (8), enter in Column (11) the same program account number as in Column (8) and enter in Column (10) the difference between the amounts shown in Column (7) and Column (9) as follows:

- (a) If the figure in Column (7) is the greater amount the figure in Column (10) is a negative figure, indicated by a minus sign (—).
- (b) If the figure in Column (7) is the smaller amount, the figure in Column (10) is positive.
- (c) If the figure in Column (7) is zero, the figure in Column (10) is the same as in Column (9).
- (d) If the figure in Column (9) is zero, the figure in Column (10) is the same as in Column (7) but it becomes a negative figure.
- (e) If there are zeros in both Columns (7) and (9) enter a zero in Column (10) and a dash (—) in Column (11).

5. For any program accounts not listed on the initial CAP 28 but added on the final CAP 28, determine whether the program account has already been or will be refunded for the current program year.

If the program account has been or will be refunded, enter in Column (10) the amount shown in Column (9) and enter in Column (11) the program account number shown in Column (1). If the program account has not been and will not be refunded for the current program year, determine if the funds when awarded, as shown in Column (4), were earmarked. If so, enter a dash (—) in Column (10) and “NA” in Column (11).

If the funds were not earmarked, they may be assigned to any other program account funded for the current program year or to be funded on the CAP 14 resulting from the final CAP 28. Enter in Column (10) the amount in Column (9), and enter in Column (11) the number of the program account to which the funds are assigned.

6. For any program account for which “NA” is shown in Column (11) enter in Column (12) the amount indicated in Column (9). Leave all other lines blank.

7. Total Columns (10) and (12).

Where the figure in Column (10) for any program account is positive, indicating that more carry-over is available than previously estimated, NOA for the program account should be *reduced* by that amount. Where the figure in Column (10) is negative, indicating that less carry-over is available than originally estimated, NOA for the program account should be *increased* by that amount. However, before NOA is increased, the field representative should review the most recent CAP 15 for the current program year. If funds are not being spent at the rate anticipated all or some of additional NOA may not be needed. In such a case the current year's program level should be reduced to offset all or a part of the adjustment in carry-over.

A photocopy of the CAP 28 with the assignments indicated will become the first attachment to the CAP 14 in the grant package. The original should remain with the final CAP 15.

8. A CAP Form 14 for the current program year must be prepared to adjust the various program accounts even when the total of all entries in Column 10 is zero provided there are any program accounts which have a negative or positive figure in Column 10.

9. Prepare a deobligating CAP 14 for the prior program year if any figure(s) is (are) shown in Column (12). A photo copy of the CAP 28 will be attached to the CAP 14.

## CAP 28 Illustration

The CAP 28 on the following page is an example of a final CAP 28, completed by OEO.

All but the last program account were listed by the grantee on the initial CAP 28. OEO completed Columns (4) and (8) upon receipt of the initial CAP 28. Program accounts 01, 07, 42, 47, and 57 were refunded; the estimated carry-over for each program account was assigned to that program account.

Although program account 60 was not refunded, the carry-over could be assigned to another program account. The Nelson Amendment component was also not refunded but since the carry-over could not be assigned, “NA” was entered in Column (8) to indicate the funds would eventually be deobligated.

On the final CAP 28 the grantee indicated that between submission of the initial CAP 28 and the end of the reported program year, funds had been switched between program accounts 42 and 47 and program account 23 had been funded.

Column (9) indicated that actual unexpended balances were larger than estimated for program

## CAP 28...

accounts 01, 07, and 47, and for the Nelson Amendment component. Balances were smaller than anticipated for program accounts 42 and 57, and the same as anticipated for program account 60. The balance for program account 21 was reported for the first time.

Columns (10) and (11), completed by OEO upon receipt of the final CAP 28, indicate the necessary adjustments. There is no adjustment for

the Nelson Amendment component because the funds will be deobligated nor for program account 60 because the original estimate was correct. The total for Column (10) is a positive figure indicating that the NOA for the grantee should be reduced by that amount unless its program level is to be increased.

Column (12) indicates that \$3,500 must be deobligated. This will be done on a CAP 14 for the prior program year, i.e., the program year covered by the CAP 28.

OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM  
**UNEXPENDED FEDERAL FUNDS REPORT** (Please type or print, fully)

Form Approved  
 Report Form No. 11-60348

1. NAME OF GRANTEE XYZ Action		2. PROGRAM YEAR B		3. GRANT NO. 6890						
4. TYPED NAME AND TITLE OF OFFICIAL SUBMITTING INITIAL REPORT		5. SIGNATURE		6. DATE						
John Smith, Ex. Director		John Smith		April 3, 1968						
7. TYPED NAME AND TITLE OF OFFICIAL SUBMITTING FINAL REPORT		8. SIGNATURE		9. DATE						
John Smith, Ex. Director		John Smith		July 29, 1969						
P.A. NO.	PROGRAM ACCOUNT	APPROVED FEDERAL SHARE	IF FOR OEO USE FISCAL YEAR	ACTUAL EXPENDED FEDERAL FUNDS THRU: March '68	ESTIMATED EXPENDED FEDERAL FUNDS AT END OF PY	ESTIMATED UNEXPENDED FEDERAL FUNDS AT END OF PY	ACTUAL UNEXPENDED FEDERAL FUNDS AT END OF PY	ADJUSTMENT IN FEDERAL FUNDS TO BE ASSIGNED (Indicate + or -)	ADJUSTMENT TO P.A. NO.	FEDERAL FUNDS TO BE DEOBLIGATED
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
01	CAA Administration	300,000	67	220,091	296,000	4,000	24,000	20,000	01	
07	Neighborhood Service Systems	120,000	67	80,086	111,000	9,000	29,000	20,000	07	
42	Medical Care	<del>32,000</del>	67	19,486	26,000	4,000	200	-3,800	42	
47	Family Planning	<del>38,000</del>	67	27,592	39,000	1,000	5,000	4,000	47	
57	Legal Services	120,000	67	80,101	126,500	3,500	0	-3,500	57	
-	Nelson Amendment #731	40,000	66	26,905	37,500	2,500	3,500	-----	NA	3,500
60	General Services	50,000	67	35,000	43,000	7,000	7,000	0	--	
23	Full Year Head Start - Full Day	20,000	68	-----	-----	-----	10,000	10,000	23	
TOTALS CARRIED FORWARD FROM ATTACHED PAGES (If any)				489,261	679,000	31,000	78,700	46,700		3,500
TOTALS				489,261	679,000	31,000	78,700	46,700		3,500

# Instructions for Explanation of Budget and Work Program Changes, CAP Form 25c

Field representatives should prepare a separate CAP Form 25c for every program account in the grant package for which OEO has made changes in the budget or work program as submitted by the grantee in the funding or amendment request. If a CAP 25c is not attached to the CAP 14 for any program account, its budget and work program are considered to be approved exactly as submitted.

The following instructions refer to specific items on the CAP 25c:

**Item 1.** The name of the grantee is the same as in Item 2 on the CAP 14. Do not include the address.

**Item 2.** This is identical to Item 5 on the CAP 14.

**Item 3.** This is identical to Item 1 on the CAP 14.

**Item 4.** If changes are made in the requested operating period, the program account beginning and ending dates entered in 4.c and 4.d should reflect such changes. An explanation of such changes should be included in the explanation of work program changes.

**Explanation.** Describe in the blank space provided, and on attached sheets if needed, the budget and work program changes made by OEO. Be as specific as possible so as to minimize misunderstandings by the grantee.

In order to impress upon the grantee the significance of the work program, describe any work program changes prior to describing budget changes. Work program changes should always refer by number to the questions on the Program Account Work Program CAP Form 7 series.

Budget changes should be indicated by cost category, listed in numerical order as they appear on Page 1 of the CAP 25. Changes in cost category 1.1, Salaries AND Wages, should be indicated by position, listed in the order they appear on Page

2 of the CAP 25. Indicate the basis for computing the increase or decrease in the requested amounts, using either the basis for valuation described in the Program Account Budget Support Sheet, CAP Form 25a, or some other basis which the field representative considers more reasonable and accurate.

In explaining budget changes, be sure to differentiate between changes in Federal and non-Federal share.

For short-term program accounts whose operating periods begin after or end before the end of program year, or for program accounts whose actual operating periods begin in one program year and end in another, the CAP 29 should indicate that costs for that program year cannot be incurred for that program account before or after a certain date, as appropriate.

For example, if a three-month summer program ends August 31 even though the program year ends December 31, the CAP 29 should indicate that operating costs cannot be incurred after August 31.

**Item 5.** If the budget and work program changes described on the CAP 25c will result in significant changes in participants, Federal expenditures, or administering agency funding levels, check the appropriate box(es) to require the grantee to resubmit revised CAP Forms 83, 84, or 85. If the changes described on the CAP 25c are relatively minor and will result in little or no change in participants, Federal expenditures, or administering agency funding levels, revised forms are not required; this item need not be completed. The field representative may, if he wishes, make the appropriate changes himself in the CAP 83, 84, or 85 submitted in the funding or amendment request, provided that he discusses such changes with the grantee and obtains the latter's agreement in writing.



# Instructions for Special Condition, CAP Form 29

Special conditions should be applied to grant actions only under unusual circumstances and not as a matter of course. Grantee eligibility should normally have been evaluated, and any related problems resolved, well in advance of the grant action. Work program requirements should have been thoroughly discussed and clarified during the field prereview.

Special conditions should not be used as a substitute for effective program review and analysis or as a crutch for insuring program and policy compliance which should have been accomplished *prior* to grant approval. Special conditions should be used only when OEO has established certain special requirements which are not incorporated into the General Conditions or where unusual or mitigating circumstances prevent the grantee from coming into compliance prior to grant approval.

Special conditions should generally not be related to the release of funds. If the non-compliance is so serious as to withhold funds then the grant action should not be approved in the first place.

Wherever possible special conditions should be discussed with the applicant prior to grant approval to minimize misunderstandings and the likelihood of grantee rejection of the grant action, and to facilitate compliance as soon as possible after grant approval.

Special conditions should be explicit as to what will constitute effective compliance. On the other hand, special conditions should not be so highly detailed that later modification would be necessary to meet reasonable contingencies.

The following instructions relate to specific items on the CAP 29:

**Item 1.** The grantee name should be the same as in Item 2 of the CAP 14. Do not include the address.

**Item 2.** This item is identical to Item 1 of the CAP 14.

**Item 3.** Prepare one CAP 29 for all special conditions which apply to all program accounts in the grant action, using additional blank sheets if more space is required. Check Item 3.a in the box provided.

Prepare a separate CAP 29 for those special conditions which apply to only a certain program account or group of program accounts in the grant action. For example, if one special condition applies only to Program Accounts 01 and 02 and another special condition applies only to Program Account 01, prepare one CAP 29 for the condition applying to Program Accounts 01 and 02 and one CAP 29 for the condition applying to Program Account 01. Check Item 3.b in the box provided and enter in the blank space the program account numbers of the program accounts to which the condition applies.





OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM  
GRANT APPLICATION CLEARANCES AND CONCURRENCES  
(Highlight Memorandum)

COMMUNITY ACTION AGENCY	GRANT NO.
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CURRENT PROGRAM YEAR END DATE	TYPE OF GRANT ACTION <input type="checkbox"/> INITIAL <input type="checkbox"/> INITIAL PROGRAM YEAR <input type="checkbox"/> OTHER (Identify)
-------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------

TO: OEO Regional Director

THROUGH: (Typed name and signature) CAP Regional Administrator,	DATE
(Typed name and signature) District Supervisor,	DATE

FROM: (Typed name and signature) Field Representative,	DATE
-----------------------------------------------------------	------

TITLE	TYPED NAME AND SIGNATURE	DATE
CAP BUDGET OFFICER		
OEO REGIONAL ACCOUNTANT		

**SELECTED AND OPTIONAL CLEARANCES**  
(Check as applicable)

TITLE	TYPED NAME AND SIGNATURE	DATE
COUNSEL		
INSPECTION		
CIVIL RIGHTS		
HEAD START COORDINATOR		
LEGAL SERVICES ANALYST		
OTHER (Specify)		

<b>COPIES TO:</b>			
<input type="checkbox"/> PUBLIC AFFAIRS	DATE SENT	<input type="checkbox"/> CONGRESSIONAL AFFAIRS	DATE SENT

## OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM

## HIGHLIGHT MEMORANDUM

SECTION I. IDENTIFICATION OF COMMUNITY ACTION AGENCY			
NAME OF CAA		ORGANIZATION NO.	
ADDRESS			
NO. AND STREET	CITY	STATE	ZIP CODE
EXECUTIVE DIRECTOR			
COUNTIES SERVED			
CONGRESSMEN			
CONGRESSIONAL DISTRICTS			
SECTION II. FUNDING SUMMARY			
TYPE OF GRANT ACTION			
a. <input type="checkbox"/> INITIAL    b. <input type="checkbox"/> INITIAL PROGRAM YEAR    c. <input type="checkbox"/> OTHER (Specify)			
PROGRAM YEAR/GRANT ACTION NO.		EOA SECTION(S)	
PROGRAM YEAR		TOTAL FEDERAL SHARE PREVIOUS PROGRAM YEAR	
FROM	TO	AMOUNT	NO. OF MONTHS
		\$ _____	
RECOMMENDED THIS GRANT ACTION			
FEDERAL SHARE		NON-FEDERAL SHARE	TOTAL COSTS
NEW FEDERAL FUNDS	CASH	ACTUAL PERCENTAGE OF NFS THIS ACTION	
		_____ %	
CARRY-OVER FUNDS	IN-KIND		
TOTAL FEDERAL SHARE APPROVED FOR PROGRAM YEAR TO DATE		PERCENTAGE OF NON-FEDERAL SHARE FOR PROGRAM YEAR TO DATE	
		_____ %	
SECTION III. HISTORICAL INFORMATION			
DATE OF INITIAL OEO/CAP FUNDING		CUMULATIVE TOTAL FEDERAL NOA FUNDS AWARDED	
DATE AND DESCRIPTION OF MERGERS			

## OFFICE OF ECONOMIC OPPORTUNITY - COMMUNITY ACTION PROGRAM

## HIGHLIGHT MEMORANDUM

## SECTION IV.

ASSESSMENT OF CAA ELIGIBILITY AND PERFORMANCE  
FIELD REPRESENTATIVE REVIEW AND COMMENT

## A. SUMMARY EVALUATION OF CAA DOCUMENTATION AND REPORTING

	TIMELY SUBMISSION OF REQUIRED DOCUMENTATION		REPORTS CONTAIN REQUIRED AND ADEQUATE INFORMATION	
	SATISFACTORY	UNSATISFACTORY	SATISFACTORY	UNSATISFACTORY
1. ORGANIZATION AND MANAGEMENT				
2. FINANCIAL OPERATIONS				
3. PLANNING				
4. PROGRAM OPERATIONS				

## B. FIELD REPRESENTATIVE ASSESSMENT OF CAA PERFORMANCE

In a brief narrative statement, give your assessment of CAA actual and potential performance for each topic listed below. The narrative should include: (1) a discussion of program and policy compliance; (2) a description of CAA strengths and weaknesses; (3) a summary of progress during the past program year; and (4) corrective action being taken or needed. Base your assessment on evaluations of CAA performance (e.g., field visits, evaluation, consultant and inspection reports) and the CAA's proposed activities as outlined in CAP Form 81, "CAA Plans and Priorities".

1. Organization and Management
2. Planning
3. Advocacy of the Poor
4. Involvement of the Poor
5. Mobilization of Resources
6. Coordination of CAA and Community Programs
7. Promotion of Institutional Change
8. Potential Conflicts

NARRATIVE ATTACHED ON PAGES NUMBERED \_\_\_\_\_

## C. FINDING OF ELIGIBILITY

1. DOES THE FIELD REPRESENTATIVE RECOMMEND THAT THE CAA BE FOUND QUALIFIED TO RECEIVE AND ADMINISTER OEO FUNDS?

☐ YES (If conditional, explain)☐ NO (Explain)

2. DOES THE DISTRICT SUPERVISOR RECOMMEND THAT THE CAA BE FOUND QUALIFIED TO RECEIVE AND ADMINISTER OEO FUNDS?

☐ YES (If conditional, explain)☐ NO (Explain)

3. FOR FUNDING ACTION, ATTACH COPY OF CAP FORM 1.

OFFICE OF ECONOMIC OPPORTUNITY - APPLICATION FOR COMMUNITY ACTION PROGRAM	(For OED Use) DATE RECEIVED	Form Approved Budget Bureau No. 110-R0156
SUMMARY OF APPLICATION <i>(Please type or print clearly)</i>		

(For OEO Use) DATE RECEIVED

### APPLICANT INFORMATION

## SECTION I.

### 1. APPLICANT AGENCY

3. PROGRAM YEAR

4. GRANT NO.

5. STREET ADDRESS

6. CITY

7.2

7. STATE	8. ZIP
----------	--------

EXECUTIVE DIRECTOR

10. TELEPHONE (Include Area Code)

## PROGRAM ACCOUNT SUMMARY

## SECTION 11.

[illegible]

**CERTIFICATION**

### SECTION III-

1. THIS APPLICATION HAS BEEN (Check "a," or "b," as appropriate.)

- a. ☐ Approved by the applicant's governing board.
- b. ☐ Reviewed by the applicant's administering board and approved by its governing officials.

A copy of this application has been forwarded to the State Governor's office. It is understood and agreed by the undersigned that any grant received as a result of this application will be subject to the general conditions governing CAP grants.

2. NAME AND TITLE OF PRINCIPAL GOVERNING OFFICIAL OR PRINCIPAL OFFICER OF GOVERNING BOARD

**13. SIGNATURE**

## HIGHLIGHT MEMORANDUM

## SECTION V.

## PROJECT SUMMARY

NAME OF CAA

GRANT NO.

PROJECT TITLE

ESTIMATED FEDERAL COST

POVERTY PROBLEMS PROJECT IS DEALING WITH

OBJECTIVES OF THE PROJECT

LIST OF PROGRAM ACCOUNTS AND ESTIMATED PORTION OF FEDERAL COSTS IN PROJECT

## HIGHLIGHT MEMORANDUM

SECTION VI. SUMMARY OF PROGRAM ACCOUNT			
NAME OF CAA			GRANT NO.
PROGRAM ACCOUNT TITLE			PROGRAM ACCOUNT NO.
ADMINISTERING AGENCY (Use continuation sheet if necessary)	FEDERAL SHARE		NON-FEDERAL SHARE
TOTAL NO. PROFESSIONAL EMPLOYEES	TOTAL NO. NONPROFESSIONAL EMPLOYEES	TOTAL NO. VOLUNTEERS	
TOTAL NO. OF PARTICIPANTS	AGE GROUP SERVED	COST PER PARTICIPANT	
NO. OF MONTHS	NO. OF LOCATIONS	NO. OF CLASSES	HOURS

Do you recommend that this program account be funded?

☐ YES, AS REQUESTED☐ YES, WITH BUDGET AND WORK PROGRAM CHANGES OR CONDITIONS NOTED UNDER COMMENTS☐ NO (Explanation included in comments)

## SUMMARY OF WORK PROGRAM:

Attach a brief descriptive summary of the following topics from the program account work program. Use additional sheets as necessary.

1. Problems Addressed, Objectives and Expected Benefits
2. Activities
3. Resident Participation
4. Training and Technical Assistance Needs
5. Coordination
6. Evaluation
7. Comments

If the program account has been operated previously, give a brief assessment of its strengths and weaknesses.

## HIGHLIGHT MEMORANDUM

## SECTION VII.

## SELECTED REVIEW AND COMMENT

NAME OF CAA

GRANT NO.

PROGRAM ACCOUNT TITLE AND NO.

NAME OF REVIEWER

POSITION

1. DISCUSS TECHNICAL ISSUES, PROBLEMS OR MAJOR FINDINGS PERTAINING TO THE PROGRAM ACCOUNT YOU FEEL NEED FURTHER CLARIFICATION. IF THESE ISSUES WERE RESOLVED TO YOUR SATISFACTION DESCRIBE THE AGREEMENT REACHED.

2. IF ISSUES ARE UNRESOLVED, INDICATE CHANGES OR SPECIAL CONDITIONS YOU WOULD RECOMMEND. OUTLINE STEPS NECESSARY TO MEET MINIMUM POLICY OR PROGRAM STANDARDS.

3. DO YOU RECOMMEND THAT THIS PROGRAM ACCOUNT OR FUNDING REQUEST BE APPROVED?

☐ YES, AS REQUESTED☐ NO☐ YES, WITH CHANGES OR CONDITIONS AS NOTED  
IN ANSWER TO ITEM 2 ABOVE.



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## HIGHLIGHT MEMORANDUM

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### SECTION VIII.

#### DISTRICT SUPERVISOR REVIEW AND COMMENT

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Discuss below any issues, problems or major findings pertaining to the CAA or this funding request that you feel will need further clarification. If these issues were resolved to your satisfaction, describe briefly the agreements reached. If issues are unresolved, indicate changes or special conditions you would recommend. Discuss the field representative's assessment and review of the CAA, as appropriate.

# Instructions for Completing Highlight Memorandum Clearance and Concurrences Form

The Highlight Memorandum, CAP Form 10, is the key decision-making document for OEO management. It provides information upon which top management decides whether to approve or disapprove funding requests and the forms on which officials in the organization record their action.

A separate Highlight Memo is required for each grant number and each section of the Economic Opportunity Act for which funds are requested. Sections 221 and 222 of Title II of the EOA may be considered as a single section of the Act for the purposes of the Highlight Memo.

A Highlight Memo is prepared for each initial grant action, each refunding grant action and any further grant action which approves a program account for the first time for the program year or increases the grantee's level of approved program. It is not required for subsequent grant actions which (1) approve transfers of funds between program accounts, (2) deobligate Federal funds, or (3) approve transfers between personnel or non-personnel costs within a program account.

Each section of the Highlight Memo (with the exception of Section VII, Selected Review and Comment, an optional section) must be completed for each initial and refunding grant action. Sections IV, Assessment of CAA Eligibility and Performance; V, Project Summary; and VII, Selected Review and Comment are optional for subsequent grant actions for which a Highlight Memo is required.

The Highlight Memo is completed in six copies and is attached to the grant package for OEO/CAP management review.

The following instructions relate to specific items on the Highlight Memo. If no instruction is included, the item is considered self-explanatory.

**Clearances and Concurrences:** This page is signed by personnel within OEO to indicate that the Highlight Memo has been seen or reviewed and concurred with.

## Section II. Funding Summary:

**Type of Grant Action:** Check one of the three types of Grant Action.

**Program Year/Grant Action Number:** Enter the letter of the program year for which funds are being approved and the grant action number.

**Level of Approved Program:** Enter the amount of Federal share approved for all programs funded under the section of the Act during

the last program year. If the program year was more or less than twelve months, show the number of months in parentheses.

**Federal Share:** Show the total Federal funds (new obligational authority and carry-over funds) recommended for approval. Next to *New Federal Funds* and *Carry-Over Funds* show the amount of each which, combined, equal the Federal share.

**Non-Federal Share:** Show the total local share (cash and in-kind contributions) recommended for approval. Next to *cash* and *in-kind* show the amount of each which, when combined, equal the non-Federal share.

**Total Costs:** Show the sum of the Federal and non-Federal share recommended for approval.

**Percent of non-Federal Share:** The percent of non-Federal share listed here is computed as the local share percentage of total program costs approved in *this grant action*.

**Total Federal Share Approved For Program Year To Date:** This figure is the sum of the Federal funds (new obligational authority and carry-over balances) recommended for approval this grant action [Line B, Column (3) on the CAP 14] and the Federal funds previously approved for this program year [Line C, Column (3) on the CAP 14]. The figure should be the same as that shown in Line D, Column (3) on the CAP 14.

**Percentage of Non-Federal Share For Program Year To Date:** Compute the total local share percentage of total program costs for *all* grant actions approved for this grant number for the program year. Include the recommended grant action. The total non-Federal share approved to date for the program year is found on Line D, Column (6) of the CAP 14. The total costs approved to date for the program year are found on Line D, Column (7) of the CAP 14.

## Section III. Historical Information:

**Date of Initial OEO/CAP Funding:** Give the date of the first CAP grant action to the CAA. If the CAA has succeeded a previously funded CAA or is the result of a merger of two or more CAA's, give the date of the first CAP grant to the original CAA or any parts of the present CAA.

**Cumulative Total Federal NOA Funds Awarded:** Give the total NOA Federal funds received by the CAA under this section of the Act (consider former sections 204, 205 and 211 as sections 221-222 and former section 311 as section 312). If the CAA has succeeded a previously

## CAP 10...

funded CAA or is the result of a merger of two or more CAAs, include the amounts received by the original CAA or any parts of the present CAA.

**Date and Description of Mergers:** Describe mergers including counties affected and date of each merger. If the CAA is the successor to another agency, identify the original CAA and the area it served and the date the new CAA succeeded it.

### **Section IV. Assessment of CAA Eligibility and Performance. Field Representative Review and Comment.**

This section is designed to provide an annual assessment of CAA eligibility to continue to receive OEO funds, based upon a summary evaluation of CAA performance during the past program year and of the CAA's future capabilities. Section IV is completed for each refunding grant action (the grant action which approves all or most of the CAA's program accounts for the coming year). It is not required for other grant actions.

The Assessment of CAA Eligibility and Performance includes some of the key items considered in the Verification of Grantee Eligibility, CAP Form 86. The field representative indicates the critical issues, controversies, potential conflicts and problems, and strengths of the CAA based on his analysis of the CAA and the funding request. He discusses resolution of controversies, identifies alternative solutions to outstanding problems and recommends courses of action (including special conditions) to correct deficiencies. If the field representative has checked "unsatisfactory" or "inadequate basis for judgment" on the CAP 86, an explanation should be included in this section of the Highlight Memo. The District Supervisor reviews the field representative's comments and both recommend whether the CAA should be found eligible to receive OEO funds.

**A. Summary Evaluation of CAA Documentation and Reporting:** Based on a review of the Verification of Grantee Eligibility and a familiarity with the contents of CAA documents and reports, indicate whether the CAA's performance is satisfactory or unsatisfactory both in submitting documents and in their content for each of the four categories listed.

#### **B. Field Representative Assessment of CAA Performance:**

**1. Organization and Management**—Discuss (a) organizational structure and functions including relationship of councils, boards and delegate agencies to the principal representative boards and central staff; (b) personnel policies and proce-

dures, and adherence to civil rights requirements; (c) financial operations including financial practices, procedures and responsibility; and (d) CAA performance in self-evaluation and monitoring.

**2. Planning**—Discuss the CAA's planning capabilities and procedures in terms of planning for its own programs and community social planning done in conjunction with other community agencies.

**3. Advocacy of the Poor**—Discuss the CAA's concept of its role in the community as an advocate of the poor, and whether it has been successful in supporting the poor. Describe the role of board members as advocates. Indicate specific steps the CAA has taken or planned to delegate responsibilities to neighborhood based organizations to help the poor communicate their views through community organization or other techniques, or to provide staff assistance or training and technical support to the poor.

**4. Involvement of the Poor**—Discuss resident participation in (a) Governing and Area Boards; (b) policy and program planning and decision-making; (c) program operations; and (d) program evaluation.

**5. Mobilization of Resources**—Discuss the CAA's efforts and ability to promote the use of additional public and private resources in the war on poverty. Describe its attempts to redirect or increase resources of other agencies to focus on the needs of the poor. Mention programs funded to the CAA by sources other than OEO/CAP.

**6. Coordination of CAA and Community Programs**—Discuss the linkage between CAA sponsored programs as well as coordination of CAA programs with relevant programs administered by other community agencies.

**7. Promotion of Institutional Change**—Discuss the attitude of the CAA towards the function of creating institutional change. Describe measures adopted by the CAA to cause changes in the attitudes, behavior and operating procedures of other agencies concerned with the poor or poverty problems, and indicate the success or failure of such measures.

**8. Potential Conflicts**—Potential conflicts relate to the structure of the CAA and its role in the community. They may include inability to raise the required level of non-Federal share, impact of the Green Amendment, mergers, CAA administration, staff, board structure, complaints voiced or published in the community. Discuss the resolution of such conflicts or recommended solution if the issues are still unresolved.

**C. Finding of Eligibility:** Both the field representative and District Supervisor must make a recommendation.

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**Summary of Application, CAP 1:** This sheet is duplicated from the funding request and included as page 3 of the Highlight Memo as a summary by program account of the funding or amendment request. It can be compared with the program account budgets as recommended for approval on the Statement of CAP Grant, CAP Form 14.

If no changes have been made in the funding or amendment request which would affect the full-year costs of a program account, and if these cost estimates are considered reasonable, insert the CAP 1 as submitted.

If budget changes which would affect the full-year cost of a program account are recommended, or if the full-year costs are considered unreasonable or inaccurate, Columns (9) and (10) of the CAP 1 must be corrected, following discussion with the CAA. Duplicate the CAP 1 and rule out the figure(s) in Columns (9) and/or (10). Enter a figure which reflects the budget changes made or which represents a more exact estimate of the full-year costs of the requested budget.

The field representatives and CAA must be as accurate as possible in estimating the full-year cost of each program account since these estimates will be used to determine OEO's fiscal year refunding demand for Congressional Hearings and Regional allocations following Congressional appropriations.

Do not correct any other column on the CAP 1, regardless of whether or not budget changes are recommended. Changes made in budgets for the requested program year, [Columns (5)-(8)], will be reflected on the CAP 14 and CAP 25c. These changes will not affect the expanded budget figures in Columns (11)-(14) since these figures are estimates of the level of program the CAA could feasibly operate if funds were not limited.

### Section V. Project Summary:

The field representative completes a separate sheet for each project which the CAA plans to operate. Information for the Project Summary is obtained from the CAA Plans and Priorities, CAP Form 81 and the field representative's conversations with the CAA during the field pre-review visit. The Project Summary is included in the Highlight Memo to identify for OEO/CAP Management the major problems the CAA proposes to deal with in the coming program year and how the CAA will group program accounts to focus on these problems.

### Section VI. Summary of Program Account:

The field representative completes one Summary of Program Account for each program account for which funding is requested. The Legal Services specialist completes the Summary of Program Account for Legal Services program accounts.

**Administering Agency:** The information on the Federal and non-Federal share administered by the CAA and each delegate agency is obtained from the Administering Agency Funding Estimate, CAP Form 85, submitted with each funding request.

**Total No. Professional Employees:** A professional employee is a paid CAA or delegate agency employee who performs duties requiring professional qualifications or who is hired for his skills. For example, a secretary is considered a professional for purposes of the Highlight Memo. Enter the total number of positions approved, regardless of whether the position is full-time or part-time.

**Total No. Non-Professional Employees:** A non-professional employee is a paid CAA or delegate agency employee, usually a member of the group to be served, who performs tasks for which professional training or skills are not required. Enter the total number of positions approved, regardless of whether the position is full-time or part-time.

**Total No. Volunteers:** A volunteer is a person who performs services for which he or she receives no salary but for which credit may be counted as non-Federal share. Enter the equivalent number of full-time volunteers approved for the program account. (This figure is obtained by dividing the total number of volunteer hours approved by 2,000.)

**Total Number of Participants:** This figure is obtained from Line 1, Columns (2), (4), (6), (8), (10) or (12) on the Participant Characteristics Plan, CAP Form 84.

**Age Group Served:** This figure is obtained from Line 1 a. (1)-(7) on the Participant Characteristics Plan, CAP Form 84.

**Cost Per Participant:** Divide the approved total (Federal and non-Federal share) cost of the program account by the number of participants.

**No. Months:** Enter the number of months for which program account approval is recommended.

### Summary of Work Program:

Question references pertain to items on the program account work program, CAP Form 7.

**1. Problems Addressed, Objectives, and Expected Benefits:** Summarize the answers to questions I.a. and b. from the work program.

**2. Activities:** List the major activities of the work program as set forth in answer to question

## CAP 10...

III.a. Note any unique or significant characteristics of the work program.

**3. Resident Participation:** Summarize participant recruitment and selection procedures (Question II.c. and d.), functions of policy advisory groups (Question IV.a.) help to be given to neighborhood groups (Question IV.e.), and employment and advancement opportunities for non-professional employees (Question V.c.d. and e.).

**4. Training and Technical Assistance Needs:** Identify training and technical assistance requirements and state how these needs will be met (Question V.h.).

**5. Coordination:** Outline procedures for coordinating activities within the program account (Question III.c.) and between the program account and related programs of other agencies (Question VI.c.).

**6. Evaluation:** Summarize CAA plans to evaluate the effectiveness of the program account (Question VII.a. and b.).

**7. Comments:** Include additional remarks which will help clarify unusual aspects of the work program, civil rights or other potential problems or weaknesses, special conditions recommended, and probable impact on the community

in terms of institutional change. If you do not recommend approval of the program account or if the recommended budget differs substantially from what was requested, explain here.

### **Section VII. Selected Review and Comment:**

This section is completed as applicable and set forth in OEO Staff Instructions by Counsel, Inspection, Civil Rights, Head Start Coordinator, Legal Services Analyst, or others. A separate CAP Form 10e (Section VII) is completed for each program account.

The staff specialist reviews his area of particular concern and enters his findings and recommendations on the technical aspects of the program account. He does not review, comment on, or recommend approval or disapproval of the funding request as a whole.

### **Section VIII. District Supervisor Review and Comment:**

This section is completed by the District Supervisor as his final step in the decision-making process. He resolves or amplifies major issues, fundings or problems and may also indicate concurrence or non-concurrence with the field representative's analysis of CAA performance or the funding request.

